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ABSTRACT

This manual adapts the basic concepts of an industry-based long-range strategic planning model to an intermediate education unit, specifically the Santa Clara County Office of Education. It is intended for those responsible for defining and implementing a planning process. The basic theme of the manual is that of planning a journey, with many routes to the destination and many options within the routes. Accordingly, Chapter 1, "Adventure in Planning--Roadmap to a Successful Journey," includes a definition and philosophy of strategic planning, a process analysis, hazards, and requirements for successful planning. Chapter 2, "Definition of Purpose," provides a series of "routes" and options to show how statements of purpose focus the goals and activities of an organization. Chapter 3 provides four "routes" for analysis of the level of need or demand for services. Chapter 4 provides six "routes" for analysis of current and future external factors, while chapter 5 provides nine alternative "routes to action" after data have been collected. Chapter 6, "The Adventure Continues," summarizes the basic insights of the manual as a whole. A 34-item bibliography and glossary are included, along with a series of appendixes to chapters 4, 5, and 6. (TE)

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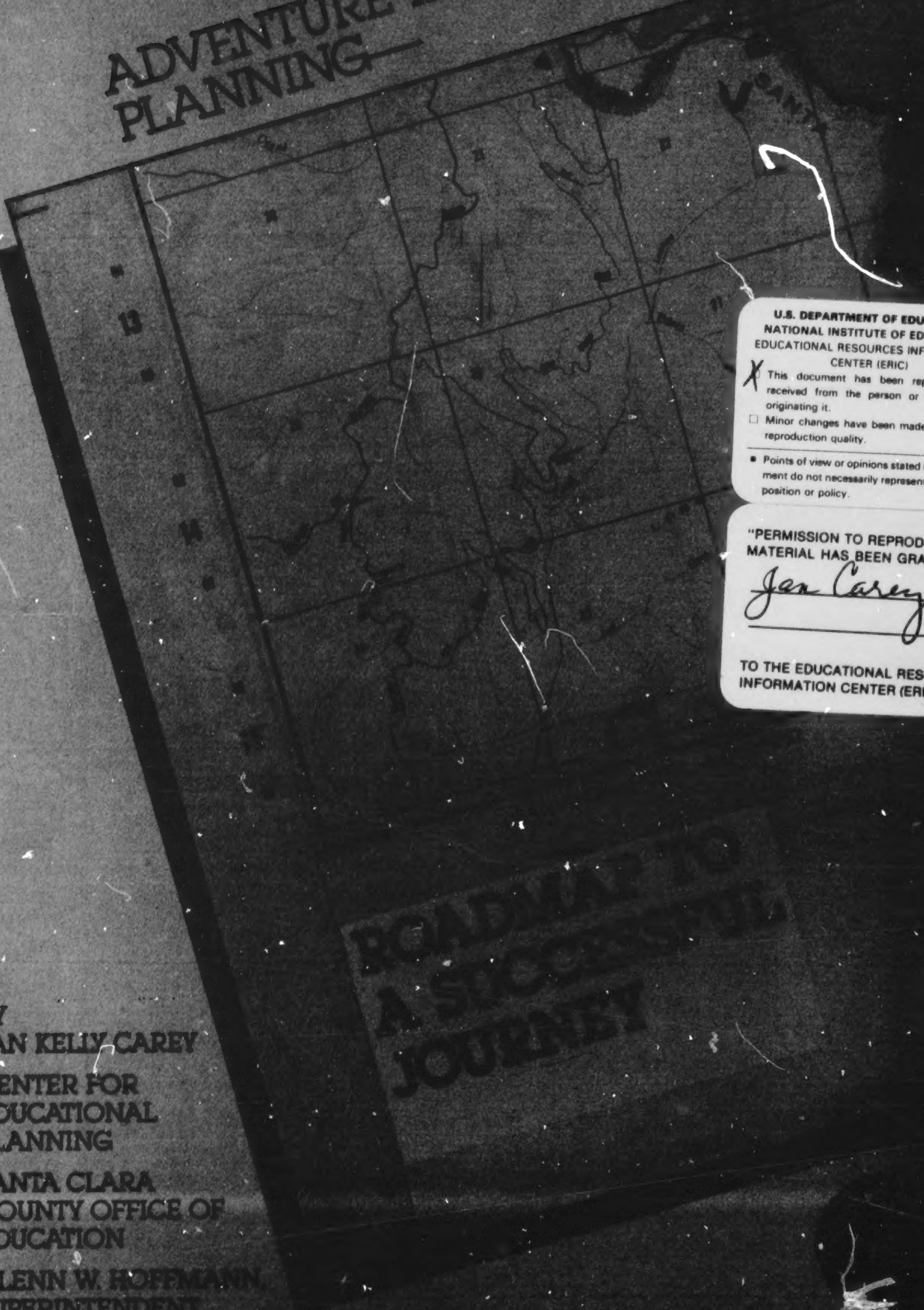

ROADMAP TO A SUCCESSFUL JOURNEY

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EA 016 854

ADVENTURE IN PLANNING---
ROADMAP TO A SUCCESSFUL JOURNEY

by

Jan Kelly Carey

Center for Educational Planning

FIELD TEST EDITION

Santa Clara County Office of Education

Glenn W. Hoffmann
Superintendent

July 27, 1983

FIELD TEST EDITION

This Manual, Adventure in Planning--Roadmap to a Successful Journey, is a field test edition and will be undergoing further review and refinement.

Any comments, information or suggestions you have to offer regarding the process, format or presentation will be most sincerely appreciated.

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FOREWORD

Rapid change is a fact of life in the 1980's. Not only is change happening with great rapidity, change in education is often not to our desire; it is all too frequently in the form of retrenchment, reduced resources and reduced ability to serve. The need is to manage change in the most positive way, even in this rapidly changing environment.

Strategic planning is a futures-oriented change process based upon an examination of the environment and development of alternative future probabilities. The dynamic of strategic planning is in proactive choice in the design of a desired future.

The unique element in developing alternative choices through strategic planning is the analysis of the environment. The environmental analysis focuses attention on factors external to the agency which impinge upon its ability to accomplish its purpose. This environmental analysis, looking outside of ourselves, is becoming increasingly important in educational planning as local control dissipates and the control shifts to the state.

This Manual adapts the basic concepts of an industry-based long range strategic planning model to an intermediate education unit, specifically the Santa Clara County Office of Education. The Manual is intended for use by those who are responsible for defining and implementing a planning process, a process to guide an organization toward the accomplishment of its goals. Although the adaptation is directed toward the intermediate unit, it is hoped that many of the process options will be able to be transferred to local districts as well.

The basic theme of the Manual is that of a planning journey, with many routes to the destination and even many options within the routes. The planner will need to check the roadmap. There is no one best route--even the same organization will choose different routes at different stages in the adventure.

The Manual presents a futures oriented, proactive view of planning as a tool for decision making with the planner as a change agent. Following this planning roadmap will provide information which will enable choices to be made for the future--choices based upon alternative probabilities. Within those choices lies the potential for the design of the desired future.

The tents are folded and packed; the safari is about to begin. Staff is trained, gear and supplies loaded, emergency resources set aside. Maps of the terrain have been carefully perused, guides consulted and information gathered on conditions ahead. The vehicles are ready.

This is a safari to define a purpose, examine a need, explore horizons and create a new design in the shifting soil of a changing world. Along the way, this safari will pass great crumbling palaces--mute reminders of former grand efforts, now decaying; time and the shifting subsoils of the region slowly drifting over the ramparts, in time returning the area to dust.

But no new palaces will be created on this journey! A tent is required--light, flexible, protective, yet easily moved as actions bring new information and goals are shifted within the changing environment.

Previous travellers have identified the hazards ahead and yet speak in praise of the effort. The camera is set to record the events, binoculars ready to study the terrain, knapsack at hand to gather artifacts for further analysis.

This safari is embarking on the adventure of planning--specifically, strategic planning in education.

CHAPTER ONE--ADVENTURE IN PLANNING - ROADMAP TO A SUCCESSFUL JOURNEY

DEFINITION AND PHILOSOPHY OF STRATEGIC PLANNING

Sometimes used synonymously with long range, or comprehensive planning, strategic planning has no universally accepted definition or model. It has been described, however, as a process exemplifying a philosophy that links alternative policies and implications to strategies and specific plans for accomplishing the purpose of the organization. A future oriented process, it provides a crucial bridge between research and decision making in the real world.

From its beginnings as a model for planning in industry, and continuing during use in post secondary education, strategic planning has encompassed the idea that while change may be the only certainty of the future, change does not have to "just happen." Through the examination of alternative futures, organizations can exert some choice over their future, can adjust actions as the future unfolds. Philosophically, strategic planning is a way of looking at life; through the study of possible future events, the organization can have some choice in its direction through development of alternative courses of action, and can even help create the desired future. In essence, strategic planning focuses more on the longer term, external factors rather than on immediate, internal ones.

THE PROCESS OF STRATEGIC PLANNING

It has been said that "The future and the past fight an endless battle of the present."[1] It is in the present that the process of strategic planning takes place. As a process, strategic planning flows from a definition of the purposes and aims of the organization through the development of policies, strategies and specific plans for achieving those purposes. It entails an examination of the organization itself--what it wants to do and can do well, through the study of what it is possible or probable that the organization will be able to do in the future. Strategic planning, with its emphasis on identifying both the purposes of the organization and alternative choices for the future, provides a linkage between the history of the organization, long range policy decisions and day-to-day operational decisions.

Of primary importance is the development of a system to prepare for change based upon the data--a process by which the specific organization assimilates and integrates the data and takes action, including taking initiative in areas where although a future need is identified, no current programs exist. Key elements include:

- Research on the organization itself, including definition of the purposes or mission of the organization, the functions it performs and an assessment of success;
- Definition of the clients, an analysis of their current and anticipated future needs and an analysis of the assumptions held by clients about the purposes of the organization;
- Research on the external environment in which the organization functions;
- Development of action plans;

- Provision for evaluating, adjusting and updating the organizational plan, based upon the information and activities resulting from the planning process;

- Analysis of planning data for policy implications and development of policies and priorities.

The task of the traveller/planner is to translate this long range, strategic planning process into the reality of a particular public entity--the intermediate education unit. Not an easy task. In order to succeed there must be both philosophical commitment and political support by the leadership of the organization to the process and use of the results. This includes the commitment of adequate resources to accomplish the task. Therefore, as one delves ever deeper into the intricacies of the philosophy and process of planning, the planner approaches the journey with humility, fully aware of the uncertainties of incomplete knowledge of the future, yet commited to the value and efficacy of the effort.

HAZARDS TO BE AVOIDED

Yet there are hazards along the way which have been identified by many previous travellers. Recognition of the hazards allows the traveller/planner to choose an appropriate route, or adjust a course of action to overcome the risks. These hazards include:

- "Force-fitting" a process onto an organization -- taking a process that has been successful in one organization and attempting to transfer it "in toto" to another organization;

- False assumptions regarding the organization -- whether the organization is loosely or tightly structured;

- Assumption that planning proceeds in a totally rational, coherent, structured non-political environment;

- Inappropriate timing -- attempting to rush into the process; allowing the timeline to drive the process; getting information to staff too late, allowing issues to crash in on the organization;

- Insufficient training -- lack of management expertise on planning itself; inadequate training by planning staff;

- Inadequate linkage with outside sources; operating in isolation;

- Inappropriate use of the planning process -- using planning as a "quick fix," or going through the motions to give the impression that there is action, when in truth there is not;

- Inappropriate type or use of data: too old, too much "soft data," not enough "hard data," over-reliance on "data," discontinuing data update;

- Inappropriate involvement of community/staff, resulting in lack of commitment to the process; not enough input from the "bottom up" into the process;

- Budget driving the total process, becoming a one-year cycle;

- Planning becoming reactive (monitoring results after allocation of budget), rather than proactive (identifying goals and choices);

- Inappropriate placement of the planning unit -- Planning information not close to decision making and agenda issues;

- System so elaborate or complicated that it destroys initiative and/or fails of its own weight;

- Too global, nebulous -- too many peripheral issues; trying to impact the whole budget at one time;

- Underestimating the problems of transition -- how change happens -- chaos and reaction can result from too rapid an attempt to change the direction of an organization;

- Becoming inflexible and rigid, following the plan so closely that it appears set in concrete;

- Inappropriate process -- over-reliance on perceptions rather than data review; not showing relationship between data and goals.

From a review of the hazards, one of the challenges is striking the right balance between too much or too little information, testing, or training. How global or narrow should the process be?

However, from the planner's viewpoint, the greatest hazard may be false expectations about what planning is or does. Planning is no substitute for judgment or decision making. Planning alone does not solve problems. The planning staff does not have a crystal ball -- the future is not that clear; it does not provide a cure-all -- there are no easy prescriptions or correct solutions. Above all the planner does not want to be treated like the "Persian messenger" -- executed for bringing bad tidings![2] In truth, planners should be placed within the organization so that they are free to ask the hard, unpopular questions, alerting decision makers to problems ahead.

With all of these hazards, the traveller/planner has to question whether the journey into strategic planning territory is possible, let alone worth the cost. More specifically, is strategic planning possible, or feasible, in an educational setting? There is consensus of those who have participated either in the process or in the use of the results that it is not only feasible, it is essential. However, there are requirements and cautions.

REQUIREMENTS FOR SUCCESSFUL STRATEGIC PLANNING

Strategic planning is feasible, and carries with it the possibility of success, when the following requirements are met:

- Staff knows what long range, or strategic planning is and becomes involved appropriately in the process;
- There is expertise or appropriate training for management and staff on planning process and function. Staff is convinced that change is possible and worthwhile;
- There are on-going changes in the environment that can provide a data-base for reasonable projections;
- The planning process is tailored to the organization, consistent with its mission, or purpose and is integrated into the thinking and actions of those carrying out the mission of the organization;
- There is balance between data and intuition in decision making, together with a commitment by leadership to an ongoing process and use of the results;
- The planning staff has vision, technical expertise, interpersonal skills, tenacity, the ability to provide training and the grace to step away from the process in order for others to own it;
- Time is available in sufficient quantity to research and develop a model; to develop understanding of the process; to identify internal and external resources and information needs; to collect appropriate data; to relay the data to appropriate levels within the organization in various forms; to facilitate use of the information; to assess results and recycle;

- The task to be accomplished, the time, staff and resources ultimately balance;

- There is both individual and institutional patience; an awareness and acknowledgement of the time it takes for strategic planning to become integrated into the decision making processes of the organization;

- There is recognition that planning takes place in an organizational context and that educational organizations, as others, are fundamentally political and most likely loosely rather than tightly structured;

- Information flows directly to and from planning to decsiion makers;

- Effort is focused in areas where there are real alternative choices;

- The planning system remains flexible enough to adjust to changing conditions;

- Planning is linked to longer term external forces and involves policy analysis;

- The focus of the effort is on the purpose of the organization, what is being done, what it does well and what is needed in the future.

THE POWER OF STRATEGIC PLANNING

The task is possible. The question remains as to whether it is worth the effort. There are three major advantages to strategic planning: First, it provides for a thorough examination of the organization; second, it structures a view of the "outside" world and how it impacts the organization and third, strategic planning promotes a "mind set" of future oriented and systematic thinking.

Advantages accrue to an organization when it directs attention to itself. Strategic planning forces the organization to define its purpose; the process can be implemented to build consensus on what the organization ought to be doing and what it can do well. With the definition of purpose and what it does well, the organization can focus activities and build a more cohesive structure. In addition, planning identifies how programs within the organization are connected to each other and to the overall purpose of the organization. With information about the organization publicly stated, direction and expectations are clearly delineated. Conversely, different or even mutually exclusive goals become apparent and can be dealt with.

Educational organizations traditionally have paid scant attention to forces external to the organization, but within the environment in which the organization functions. These external forces, such as economic conditions, immigration, and technological developments, are having an increasingly significant impact upon all aspects of life, including education, and are ignored at some peril. A basic and unique aspect of strategic planning is this systematic examination of external factors and resulting trends. This study of trends forces an examination of issues that might not otherwise surface. In addition, examining the organization from a different perspective, through contact with outside resources, can provide insight and increase preparedness for new developments.

Finally, the process of strategic planning encourages systematic and futures oriented thinking on the part of all managers, many of whom are so caught up in the day-to-day survival issues that long range, futures oriented planning does not come naturally. The focus is on cause and effect, matching resources to needs in the long term throughout the organization. The demoralizing climate of "just getting by, day to day" can be replaced with a more vivid sense of participation in a shared future as the heirarchy of management functions includes making choices for that future.

The advantages, feasibility and hazards of the adventure have been identified and the journey is about to begin. The basic strategic planning process has been described as a "Continuous flow from definition of organizational aims through policies, strategies and plans for achievement."[3] The following chapters describe in detail this flow of planning.

Chapter Two defines strategies and factors to consider in the development of the statement of purpose or mission of the organization. Chapter Three describes the analysis of the "market." This includes strategies for defining who clients are as well as their level of need or demand for services. Chapter Four provides a number of alternate strategies for exploring the external environment in which the organization functions. These three chapters essentially describe the research or data collection phase of strategic planning. The definition of purpose requires an examination of the organization itself through a study of its history and legal responsibilities. The analysis of client need, or market analysis, explores both who the organization is currently serving and who it might serve and in what ways. The purpose of the environmental analysis is to identify trends in the larger socio/economic/political environment which have implications for the organization.

Chapter Five describes strategies to assimilate the research and data into the fabric of the organization, outlining processes by which the information can be used in both policy and operational decision making. Each of these chapters develops options through which appropriate staff participate in the planning function,

Chapter Six revisits some basic elements -- evaluation, documentation, and training (one has to know how to read the roadmap); reassesses some of the factors which allow change to occur and defines the roles of the traveller/planner.

Although there are some basic stops along the way, there are many alternate routes to reach the destination and achieve the purpose. And as with many adventures, reaching the destination (in this case a "plan" for the organization,) may be anti-climactic. The memorable part of the adventure is the trip itself--the process rather than the plan.

There are advantages and disadvantages to each of the choices described in the following chapters. Successful strategic planning recognizes the concept of "mutual adaptation" and modifies the process to the organization, as well as the organization to the process.[4] With each action the course is adjusted; the goal itself may even undergo change. Remember, this is a safari "to define a purpose, examine a need, explore horizons and create a new design in the shifting soil of a changing world." Using the strategies described in the following chapters, the safari will pass those great crumbling palaces, and with the tents, adjust quickly as actions bring new information in an ever changing environment.

NOTES

[1] Roy Amara, *A Framework for Corporate Strategic Planning: Philosophy, Process, and Practice*, (Menlo Park: Institute for the Future, 1980), p. 1.

[2] Darryl J. Ellis and Peter P. Pekar, Jr., *Planning for Nonplanners*, (New York: Amacom, 1980), p. 26-27.

[3] George Steiner, *Strategic Planning, What Every Manager Should Know*, (New York: The Free Press, 1979), p. 14.

[4] Paul Berman and M. W. McLaughlin, *Federal Program Supporting Educational Change, Vol IV: The Findings in Review*, Washington, D.C.: U.S. Office of Education, (R1589/4 Dept. of HEW, 1975), p. 25.

CHAPTER TWO--DEFINITION OF PURPOSE
(Mission)

FOCUS--WHY DOES THE ORGANIZATION EXIST?

The "destination" of the mission-setting portion of this journey is the development of a statement of the basic purposes, or missions, of the organization and the functions it is empowered or directed to perform. Abraham Lincoln said, "If only we knew what we were about, perhaps we could get about it better."[1] Clearly defined public statements of the purposes, or missions, of the organization focus activities and serve as a framework for testing the appropriateness and consistency of activities as the organization "gets about" its tasks.

Identification of the mission of an organization is a journey into the reason for being, the purpose of the organization's existence, in whole and in part. As a new program is being considered, or an existing one changed, the question can be asked, "Does this activity fit under the "umbrella" of appropriate functions as defined by our statement of purpose?"

In a journey where the basic purpose is to map the total territory, there are still many unique characteristics of the terrain to examine. The destination of this journey is defining the purpose of the total organization. However, within the organization, as within the territory, there are individual program missions, or characteristics of the terrain, to examine. A complete journey into the identification of the purposes of the organization includes development of the mission, or purpose of the total organization as well as identification of the mission of separate programs.

When there is consistency and agreement on overall purposes of the organization, there is less likely to be conflict and confusion among subordinate, or program goals. The clarity of the overall statement of purpose also provides clear definition of expectations for program goals. Without clear statements of purpose any task or function in any program is equally important in the overall scheme of the organization.

A complete journey into the identification of the purposes of the organization includes the development of the statement of purpose of the total organization, a process for developing such statements for individual programs within the organization, and a process for reviewing the statements on a periodic basis.

CHOOSING THE RIGHT ROUTE

The focus of this journey is on the purpose of the organization including the functions each unit performs in fulfilling the purpose. This is a sequential journey which requires the development of strong links between the organization as a "whole" and its separate programs. The first segment of the journey, Route One, is the identification of the basic purposes of the whole organization. These overall, or "umbrella" statements of purpose must provide clear direction to serve as "trail markers, or signals" for the development of individual program statements. The second segment, Route Two, entails development of specific statements of purpose and function for individual programs. If a program statement hits a road block or comes to a dead end when it tries to fit into the overall statement, either the overall statement is not clear, or the program statement is inappropriate. Route Three defines options for review of the statements of purpose. The options in this journey are within, rather than between, each of these major routes.

Bring a spirit of adventure to this journey! Define the purposes of the organization with the desired destination in mind--what the organization should be doing--rather than confining your journey to what appears to be feasible given today's resources. The safari may be limited to one vehicle now, but resources may become available for a caravan later.

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***********************************************************
*  Caution:  Avoid the restricted route of                *
*  what is "feasible" in the current climate with         *
*  with current resources.                                *
***********************************************************
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Who will take part in this journey? When will they be involved? Each route must be taken. The journey may take considerable time and require commitment of many resources at different times. The balance between the resources of the planning unit, the time allocated to the activity, the interest of the members of the organization are all factors to consider in choice of route options.

Taking the time to involve various levels of staff is a way to gain understanding and commitment both to the process and to the results. The energy and time the planning unit spends in gaining this understanding may save much time and energy in the overall marathon adventure of planning.

ROUTES TO DEFINITION OF PURPOSE

Four different "routes to definition of purpose" are described below. Each has features that lend itself to different organization structures.

ROUTE ONE--AN OVERALL, OR "UMBRELLA" STATEMENT

The expected outcome of this route is the development of an over-arching, or "umbrella" statement of purpose, or mission, for the entire organization. The umbrella may be designed by various people within the organization--the board, the administration, with or without client and public involvement. The option selected to develop this umbrella is based primarily upon the philosophy of leadership within the organization. Definition of the primary missions of the organization can bring a sense of cohesiveness, consistency and consensus on the direction of the organization, sending clear messages for the focus of individual program goals.

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*****************************************************
*  Warning:  Avoid detailed side-trips which make   *
*  the umbrella statement overly specific.  That    *
*  is the challenge of the next route.              *
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Option One--"Umbrella" Statements Designed At Top Administrative Level

The umbrella mission statement for the organization is initially formulated at the top management/administrative level. The rationale for this option is that leaders of an organization can be presumed to possess the technical knowledge of the legal mandates and parameters; a broad scope of knowledge of the total operation of the organization; a sense of the politics and policy issues. The advantage of the route is the direct application of the expertise of the group; the disadvantage of the route is the "top down" framework, with danger of limited "buy-in" or ownership and lack of understanding by mid-management, staff and clients.

Option Two--Umbrella Statements Designed by the Board

As the policy making body of the organization, the board can initiate the formulation of statements describing the purposes or missions of the total organization. With a facilitator and study-session format, the board brainstorms and selectively identifies the "umbrella" statements. The advantage of the option is in gaining the policy level thinking early in the process; the disadvantages are lack of technical expertise and, again, ownership by those within the organization.

Option Three--Statements Designed with Assistance of Constituent Groups

In this option, the statements of purpose are developed with the assistance of client groups of the organization--parents of children in specific programs administered by the organization, districts or agencies served. For an intermediate education agency, this could include, for example, parents of special education, migrant, Headstart or Juvenile Court School students; clients who purchase the services of the organization, such as school districts. A committee is formed with representation from client groups and major units within the organization. The group defines expectations it has of the organization and assumptions as to the service it is providing or should provide.

This method requires providing some training and information to the group, as clients of a particular service usually lack information regarding other services. This method provides an opportunity to both solicit information from and provide information to clients. And the strength of this approach lies in that exchange. However, as the technical expertise and perceptions of the organization vary widely, the role of the committee must be very carefully defined as advisory, with recommending authority only. If not carefully constructed, this option could result in statements of purpose that resemble the proverbial elephant described through the touch of a blindfolded person. It is also important to recognize that different organizations or groups may frequently have conflicting goals and are likely to ultimately be competing for the same resources.

Option Four: Community Conference

The wider community (business, industry, public agencies) school districts, and individual client parents come together to review the history of the organization and define their perception of its future. The charge to the group can include a review of the documented history to assess what the organization historically has done and has done well and the legal charge to the organization. From this information, the group explores its own perception of the purpose of the organization and then its expectations for the future. This provides a process for a test of current assumptions of what the organization is doing against current activities, as well as future expectations.

As with the previous option, the community conference requires careful definition of its purpose as well as skilled facilitation. Levels of skill and understanding of the institution and the process will vary greatly. Concise, appropriate information must be available to the conference participants in an easily understandable format. The strength of the approach again lies in the exchange of information.

Option Five--Umbrella Statements Designed by Staff

Statements of purpose and function are developed by staff within each separate program, then combined with those from other programs. As the statements are combined, the overall "umbrella" unfolds and generic mission statements emerge. This can be a long and cumbersome route, with each organizational unit outlining its functions, drafting its perception of the mission of the organization and working the drafts up the organizational heirarchy, expanding and combining the statements until one clear set is achieved. The advantage of the route is in the building of a strong base of understanding and ownership throughout the organizaton. It combines and "folds in" detailed program functions and understanding of the purposes of the program with the administration's broader view of where the organization is or should be going. However, the possibility of conflicting goals and competition for the resources of the organization, especially fierce in times of retrenchment, is a hazard to be recognized in this option.

Generic statements developed through the heirarchy are then tested for policy and political implications by the governing board. Following review and approval by the board, the generic statements then cycle back through the administration to individual managers for further elaboration or refinement as individual program statements of purpose.

Option Six--Expand Existing Program Descriptions

Using any existing program descriptions as a vehicle for identifying what the organization currently defines as its mission or purpose provides a starting point for the development of overall statements by the administration, the planning unit, or another designated group, i.e., selected program managers. If for example, there are existing program descriptions within the budget, the program will compile the functions identified and develop an overall statement broad enough to encompass each of the functions. Existing descriptions provide an historical perspective and a starting point for defining the purposes of the organization from a futures perspective. A hazard would be if the exploration of purpose stopped with that historical perspective, ignoring future possibilities.

Option Seven--Functions defined by Education Code

This, a more limited option, develops functions from the legal definitions in the education code and refines the definitions into statements of purpose. The task can be accomplished by planning staff, with review by legal counsel, submitted thereafter to administration and board. This option provides a more restricted scope of activity, and may be a sub-option, or starting point, to be included in one of several other options. Standing alone, the risk lies in the lack of involvement of any but limited numbers of staff, and therefore potential lack of acceptance. In addition, the intermediate unit has latitude to provide service beyond the legal mandates which may be ignored if only the mandates are explored.

When considering the options within this route, the following factors will be important to keep in mind:

- Modelling: Within this route is the opportunity for the board and administration to model the behavior and results it expects from individual units within the organization.

- Time: It becomes a hazardous journey when time totally drives the process, yet organizations function by budget cycles, academic calendars, etc. and time inevitably becomes a factor. The greater the number of people involved the more time any process will take.

- Existing information: If no descriptions of the purposes, goals or mission of the organization are extant, it means "re-inventing the wheel." It may take less time if there is some history or documentation available. The process will vary, depending upon the existence of written information.

- Technical expertise: Knowledge of the process and function of planning, as well as knowledge of the organization itself, is key to the development of meaningful mission statements. If the level of expertise differs, or is inadequate, training will become a factor.

- Resources: Willingness of leadership to commit resources to the process must inevitably affect the choice of option.

- Balance: The ultimate factor in the choice will be which route strikes the appropriate balance for the particular organization at the particular time.

- Appropriateness: The appropriate level and type of involvement will be a factor as specific charges are given to groups which include constituent/clients, staff, managers, administrative officers, board. The issue of who holds ultimate responsibility for defining the purpose of the organization will need to be clarified.

ROUTE TWO--PROGRAM STATEMENTS OF PURPOSE OR MISSION

The expected outcome of this route is the definition of statements of purpose for individual programs within the organization. The option examines whether current or anticipated functions, programs and clients fit under the "umbrella" or overall statement developed in Route One. It also identifies the functions that the organization does well.

Option One--Staff Identifies Division/Department Mission Statements--Supporting Ribs to the Umbrella

Under the umbrella are ever more sharply focused mission statements for units within the organizational heirarchy. Mission statements for major ribs to the umbrella, the two or three major organizational units in an intermediate education agency, i.e., business, instruction, special schools, are further supported by very sharply focused departmental mission statements, i.e., budget or payroll statements within the business unit. Managers and staff within each unit develop appropriate statements, based upon their professional expertise and understanding of the unit in a process parallel to that used by the board and administration in developing overall statements.

Option Two--Dictionary of Functions

Each program manager develops a dictionary of functions performed by the program; planning staff compiles a comprehensive dictionary of functions for the organization. By comparing this dictionary with the overall mission statements, it can be determined whether specific activities "fit under the umbrella." If not, consideration can be given to whether a more comprehensive overall statement--a larger umbrella--is needed or an adjustment in the specific function. This provides a two-way test to determine whether the functions are appropriate to the general mission and whether the umbrella itself is of sufficient breadth.

Option Three--Identification of Clients

Now that there is an umbrella, who does it cover? As program managers identify functions, they identify clients as well. For an intermediate agency, clients may be identified as those receiving direct service (direct instruction to children); support service (training to perform their functions more effectively, i.e., staff development for teachers); coordination or consultive services. Or, clients may be identified as internal and external. Internal clients would be those receiving service from other units in the organization.

Option Four--Involvement of Clients

The organization involves clients in groups within programs to assist in developing a dictionary of functions, a list of clients and draft mission statements. This models, at the program level, the client/community involvement process for the overall mission statements. The same reservation exists here as with involving client groups in the development of the overall statement--the clients are focused on individual needs and perceptions and the process requires providing a balance of expertise, together with a clearly defined charge to the group.

Option Five--Identify Groups Affected by the Size of the Umbrella

The organization identifies employee groups, state or federal organizations and agencies which are affected by the definition of the mission of the organization. This clarifies how functions inter-relate to the functions and needs of other organizations. For example, whether child care is identified as a function of the organization impacts employees involved in providing child care, and other private or public child care service providers.

Option Six--History of Successful Functions

Again, the program follows a process modelled by the organization as it determines which functions within the program have been successful in terms of meeting client need, use of staff and other resources.

When choosing one or more of the above options, the following factors will be important to consider:

- Similar functions: Can clusters of similar functions be identified and agreed to?
- Clients: What does the word "client" mean? Is it anyone touched in any way by the organization? Is it individuals or organizations receiving service or benefit from the organization?
- Policy: What happens if functions are identified which do not fit under the umbrella?
- Balance: There is the ever-present necessity for achieving a balance between process, time and resources.

ROUTE THREE--REVIEW--RELIVE THE JOURNEY

Renew and re-examine memories, perceptions of the original journey. The purpose of this route is to periodically review the mission of the organization as well as program missions based upon current actions and information. It provides for a comparison, on a regular basis, of the actual activities of the program with the stated functions and mission; these are then tested against the overall statements of purpose of the organization.

Each action within the organization changes or affects the environment within which the organization operates. Actions alone generate new information which may require new activities and even new goals. The purpose of an organization does not necessarily remain static over time and should in fact be able to adjust, or risk becoming a dinosaur of its time.

The route options include analysis of new data, comparison of activities, reexamination of legislation, comparison of assumptions of clients.

Option One--Review by Program Manager

Program managers conduct their own assessments of current activities and compare these with their program functions and statements of purpose. This option may limit the review, based upon the managers expertise, knowledge of factors external to but affecting the program and willingness to risk.

Option Two--Analysis of New Data

New data on conditions within the environment, client need and success of current functions is collected by planning staff with program managers. Information is analyzed by planning staff, program managers and administration. Program-level retreats, with planning staff facilitating review of information by program managers and evaluators, can lead to retreats by administration and board to examine the overall results.

Option Three--Reexamination based upon Legislative Change

Perhaps a sub-option with other options, attention must be paid to legislative change as it affects the direction and focus of activities of the organization. Used alone, this option provides review with a limited focus.

Option Four--Needs Assessment

Through surveys, interviews, conferences, compare assumptions and expectations of clients to actual practice. Ideally, include questions which will yield comparable results in each regular needs assessment.

Factors which will be important to consider in the review process include:

- Resolution: What happens when gaps, overlaps or inconsistencies are discovered between current activities, functions and statements of purpose?

- Review: The frequency with which a review takes place--on a program by program basis and for the whole organization must be considered.

SUMMARY

Statements of purpose, or mission, focus the goals and activities of the organization. These clear, public statements enable the organization, its governance structure and public to assess its accomplishments. If such a statement does not exist, and the organization itself does not know where it is going, it can never tell if it has arrived. It can never savor its successes or adjust its focus for the changing needs of society. It risks either stagnation, or worse becoming an anachronism--misplaced and no longer useful to society.

Ideally, statements of purpose encompass the total organization as well as being program specific. They can be defined at different levels within the organization and by different groups, from board to staff to clients. They can be narrowly defined, adhering strictly to legal mandates, based upon what the organization has done successfully in the past or broadly based upon the philosophy and vision of the leadership as to how the organization can serve broad community needs.

A description of current functions provides a base for projecting future missions. Development of these statements of purpose, or mission, within strategic planning requires that the organization address not only what the organization is, but what it should be in the future.

CHAPTER THREE--ANALYSIS OF THE LEVEL OF NEED OR DEMAND FOR SERVICES
(Market Analysis)

FOCUS: WHO NEEDS THE SERVICES THE ORGANIZATION PROVIDES?

The "destination" of the market analysis portion of the journey is the determination of the needs of clients served by the organization. Following arrival at this destination a further adventure is to test those needs against the factors identified in the environmental analysis as described in Chapter Four and the purposes of the organization as identified through the process in Chapter Two. In a sense, it is necessary to bring the three journeys together into one grand tour.

There are many choices as to where an organization can best focus its energies, even after the statements of the purpose, or missions, of the organization have been clearly defined. Part of the answer to the question of which route to follow comes from the analysis of the environment--the factors external to the organization which need to be considered when choosing a course of action. Within the scope of the environment, the organization can focus efforts in a number of alternate directions. Another part of the answer lies in the assessment of which services, or functions, that the organization can provide are needed by the individuals, organizations or agencies within the service area. In business planning terms, this is referred to as a market analysis. The analysis of "market," or need, as it will be referred to in this manual, provides information necessary to direct activities toward areas which support both the basic purposes of the organization and its clients.

The analysis of need must be tested against the statement of purpose, or mission, of the organization and the feasibility of accomplishing the task given the factors identified in the environment. Below is an example of a need/demand "snapshot".

> Snapshot: An increasing need, or market, for child care services exists. Coordination of child care services fits under the mission of the organization; operating direct child care programs does not. In addition, an analysis of the environment indicates that financial support to education agencies will continue to be limited. Balancing the need against the purposes, or missions, of the organization and the factors in the environment determines whether, how, and to what extent the organization is involved in child care services.

As it will be with the environmental analysis, this is a multi-faceted adventure--each facet being one of the programs currently operated by the organization, or new ones being contemplated. In planning the journey consideration must be given to the special characteristics of different programs. It may be impossible to choose a single route which will meet the information requirements of such diverse programs as, for example, payroll services and migrant education. A complete analysis of the need for services will include: identification of clients, or users of the services provided by the organization; identification of programs within the organization which require the "need," or market information; a variety of methods of collecting, analyzing and documenting the information, presenting the information and training in the use and significance of the information.

CHOOSING THE RIGHT ROUTE

This again is a sequential trip. Because the destination is an accumulation of data on the need for services, the first segment of the journey is the identification of which programs are to be included; the next segment deals with who the clients are; the third segment, how the information is to be gathered and finally, what is to be done with the information. The options in this journey are defined as alternatives within routes, rather than options between routes, as ultimately to complete the analysis of client need, some option in each route must be followed.

Given that each route must be taken, what resources do the various options require? To which programs are the planning resources to be allocated? How is this determined? Who is involved in making the decision? How is the process tested? How complete must the "market" information be? What resources are available to collect it? Is it necessary to provide information for each program within the organization each year?

ROUTE ONE--IDENTIFY PROGRAMS REQUIRING INFORMATION

This route might not be necessary if the resources of the organization were unlimited, or at least sufficient to complete a survey of need for each and every program of the organization. This, however, is not usually the case. Therefore, the purpose of this route is the identification of programs which have the greatest need for information regarding their services--either programs in dire straits where use of their services is diminishing or programs with rapidly expanding numbers of clients. In either case, resource allocation is critical. In the first case, significant changes may need to be made in the program delivery system if the program is to survive. In the second case, as the demands for service exceed the capabilities and resources of the program, priorities have to be established to allocate resources to the most effective, significant or necessary services.

> Caution: POLITICAL WATER HAZARD AHEAD! If analysis of client need for services is a new concept in the organization, selection of programs to be included can be fraught with peril to the planning unit. The selection can have political implications, especially if all analysis of need is focused on one segment of the organization, or only on programs which appear to be in "hot water," and targeted for termination.

Option One--Participants Determined by Top Administrative Officers

Top administrative officers decree who will participate, working with available budget and program information. If the "route " must be arranged very quickly, this option has desirable qualities; the disadvantage is in the feelings of both those included in the group and those left out! Inclusion may not be seen as a "positive perk," while at the same time, exclusion may also be seen to be rejection! In other words, like a parent selecting one child over another, this paternalistic methodology has repercussions.

Option Two--Negotiation for Inclusion in the Group

In this option, the line managers examine and recommend which programs can benefit from an analysis of client need for service. The decision to use this option still rests with the administration, but there is opportunity for program managers, or the administrative officers, to negotiate the necessity or opportunity to be included. This may be a subtle difference, and one of process more than ultimate outcome. The advantages lie in the more open style; the disadvantages in the time the process may consume.

If analysis of need for service, or market analysis, is a new concept to the organization, a full explanation of the concept and the process needs to be provided. Then, within each major division, managers and administrators can examine which programs may benefit from the analysis. Programs requiring the market information are prioritized within each division. After information is collected from each division, the administration can prioritize the total listing and balance against the time and resources of the planning unit.

Option Three--Field Test

With this option, one program is selected (either by the administration or through the negotiation option) with which to field test a process which has been developed by the planning unit. Ideally the program selected would be typical of many in the organization and have a readily recognizable need for information from its clients. Since this service will be available to all programs at a later date, a seminar can be conducted describing the components and criteria for participation after the pilot market analysis is concluded.

****
* Caution: Care in selecting the program to pilot *
* may influence and possibly increase interest and *
* willingness of programs to participate. *
****

Following the pilot test with the one program, it is possible to return to other options.

Option Four--Participation by Request Only

When the analysis of need or demand for program services has become an accepted feature of program planning, this option may be feasible. This option requires an understanding of the process and acceptance of the usefulness of the information.

Option Five--Regular Rotation

Again, as the process becomes an accepted part of the planning cycle, or as criteria are developed, a regular rotation, or review of the market, can be conducted.

The following factors are important to consider:

- Criteria: What criteria should be used? Possibilities include budget size or cost overrun, client satisfaction, and program growth or decline. Clearly established criteria can eliminate the perception of one program being singled out, especially in a time of financial retrenchment. Need for some flexibility in selection is also a consideration.

- Cycle: Should programs be considered on a regular rotation basis--cycling through a needs/market analysis every year, every two years, etc.? Need for the information, time and resources of the planning staff are considerations.

- Process: Who should conduct the analysis--the program, the planning unit, an outside agency? The program may have access to good information, but appear to have a bias; an outside agency can be expensive, though may have resources unavailable to the organization. Resources of the internal planning unit remain a consideration.

- Training: Especially if a need or market analysis is a new concept and process, it may be necessary to provide information to managers and staff at all levels in both the concept and the process. Training links with both time and resources as factors--the training itself takes time and resources, but in the long run may save time.

- Level of activity: The process should outline the level of activity of administrators, managers and staff, defining whether they will be involved in preliminary activities, such as identifying clients and information needed, or whether they will also be involved with the planning staff in data analysis.

- Differential Analysis: Consideration needs to be given to the type and method of analysis based upon the type of function the program provides. For example, internal or support services may requires different strategies than external client services. Program selection can impact the grouping of functions for analysis.

ROUTE TWO--CLIENT POPULATION, SAMPLE, INFORMATION

The outcome of of this route is to determine the client population and sample, what information is needed and who has it. Options include very structured identification by one group to a more collegial methodology.

Option One--Planning Unit

The planning unit, acting independently, determines the population, sample and information. This expedites selection, but depending upon the information and contacts of the planning unit, may omit either appropriate clients or questions. More importantly, this option eliminates the sense of ownership or investment by program staff which comes from participating in initial activities.

Option Two--Program Manager

One logical option would appear to be to gather information on current users or clients from the program manager. This is a sensible, well-travelled option, but if used exclusively can leave some interesting sub-options unexplored. The perspective may be more limited than necessary. In addition, the route may present some road-blocks to a successful journey; the program manager has a special interest in the outcome and may not wish to jeopardize the result by including former, or dissatisfied, clients.

Option Three--Program Manager and Planning Staff

The planning staff and program staff work together to determine the route. The planning staff gathers basic information from the program manager on present, past and potential clients. In addition, the planning staff seeks information from additional sources, both within and outside of the organization, regarding configuration of similar programs. The advantage of having the planning and program staffs work together accrues not only in the possibility of increasing the information, but also in satisfaction with the results. If the participant is dissatisfied with the choice of option or fellow traveller, the result of the journey will not be viewed with much appreciation!

Option Four--Not Only Who, But How Many?

The potential clients have been identified; it is known who has the necessary information. But how many can travel the route? What should the size of the sample be? To a great extent this depends upon the size of the client population, the time and resources of the staff, and the choice of technique and analysis.

The considerations outlined in Option One through Three apply--planning staff and program managers working independently, or working together. Rather than having the planning staff make apparently arbitrary decisions as to size of the sample, working together will do a lot to ensure that the program manager has confidence in the data once it has been collected. Depending upon the expertise, additional research staff may be necessary to provide information on statistical analysis, i.e., reliability, validity of sample, etc.

Using a telephone survey technique with a small client population may allow for a 100% sample, with manual data analysis. In another case a written survey may be chosen for a population of several hundred, still having a 100% sample, and using computer analysis techniques. However, the same population of several hundred may require a small sample, if a telephone technique is applied.

Option Five: Information Needed

Again, the considerations outlined in Option One through Three apply--planning staff and program managers working independently, or working together. Working together to identify both the information needed and developing specific questions verifies that the questions will actually collect the appropriate information. Depending upon the expertise of the managers and planning staff, additional research staff may be called upon for development of questions and format to ensure ease in analysis.

In addition, decision makers at levels above the program manager may have need for information that is not apparent either to the planning or program staff. Providing for review of questions by administration prior to the conduct of the survey ensures that the appropriate data will be collected based upon the broader perspective of administration.

Option Six: Accessible clients

There may be some natural groupings of clients which will make the data collection process more efficient. For example, regular meetings of particular groups or advisory boards may include a broad cross-section of the desired population. Consideration must be given to whether or not the group is representative, and what to do about surveying those members not attending a particular meeting.

> Snapshot: The Superintendents of districts in Santa Clara County meet monthly with the County Superintendent. Part of one meeting was used for a paper and pencil survey of the of the perception of district need for service from the county office.

Snapshot: The Educational Media Center Advisory Committee, which includes teacher and administrator representatives from each district within the county responded to a survey of district need for media services.

Some additional factors which are important to consider:

- Time: Although it may be easier and quicker for the planning staff, for example, to develop a process in isolation, the hazards of this option cannot be sufficiently stressed. Unless great care is taken, the planning staff can be placed in the position of making decisions which in truth should be made by program staff, simply due to the pressure of time.

- Program Bias: Care must also be taken to avoid a natural bias that can accrue to program staff.

ROUTE THREE--COLLECTION AND ANALYSIS OF DATA

Just as some vehicles are better than others for exploring different types of terrain, some techniques are better than others for identifying the level of need or demand for services for different programs. The theme of this option will be to identify the best technique for the collection and analysis of information needed.

Option One: Telephone Interview - Pre-arranged time

This option works very well when a preliminary telephone call establishes the purpose and format of the interview and establishes a specific appointment for the interview call. The appointment should include the estimated duration of the interview. The interviewer uses a pre-set questionnaire, comprised mostly of items to be checked. Comments, however, can be included. The survey can be extensive or limited, depending upon the resources to employ interviewers. It is important for interviewers to have some expertise in the subject if comments are elicited, any interpretation required, or deviation from the explicit wording allowed.

Option Two: Telephone Interview - Pre-arranged time and questions

In addition to the arrangements in Option One, the list of questions is mailed to the respondent. This addition allows respondents to seek out any specific information they may not have readily at hand.

Option Three: Personal Interview

The purpose, format and duration of the interview is pre-arranged. The interviewee may be provided with a copy of the questionnaire. The interview may be recorded with tape or notes by one or two interviewers. The questions can include checklist, scaled responses, with opportunity for comment as well as purely open-ended questions. The latitude and type of questions, the level of the respondent will determine the necessary level of expertise of the interviewers. Whenever any follow-up questions are encouraged, or any interpretation or syntheses of the results is required, the interviewers must have expertise in the topic areas.

Snapshot: During the second year of strategic planning at the Santa Clara County Office of Education each of the thirty-seven district superintendents in the county participated in an in-depth personal interview. The interview encompassed the superintendents' perceptions of trends in education, their need for service from the intermediate unit and an assessment of the environment in which education functions today.

Option Four: Written Survey--Mailed

The survey instrument is mailed, with a cover letter, to appropriate respondents. Depending upon the size of the sample and the necessary response rate, follow-up letters can be sent to non-respondents.

Option Five: Written Survey--Hand carried

With this option, the questionnaire can be administered either individually or with a group. Individually, the time and duration of the process is pre-determined. This option can be used successfully with a group which meets regularly, in which case the item would be on the agenda for the meeting. The staff person administering the survey explains the purpose and format, responds to questions, and distributes and collects the instrument.

Decisions need to be made regarding whether or how to obtain results from members of the group not in attendance at that particular meeting. The survey can be mailed, with a cover letter, administered at a later meeting, or the sample size may be sufficient without their responses.

Factors which are important to consider when choosing one of the options above include:

- Language: Use of terminology such as "market analysis" may be foreign to respondents. The term "needs assessment" or "assessment of need or demand" may be more familiar and appropriate. In addition to the terminology itself, the survey may require translation into another language, depending upon the respondents. For example, a parent survey in a heavily Hispanic or Vietnames area may need to be printed in more than one language.

- Size of population/sample: The size of the population and sample influences the technique unless resources are unlimited. What is possible for a small group, for example, a personal, in-depth interview, would be prohibitively expensive with a large sample.

- Use of Data: Whether the data requires in-depth analysis of opinions, perceptions, trends, etc. influences the collection criteria. Checklists provide clear, unequivocal data; comments may provide data with a more nuance and breadth.

- Credibility: Regardless of what technique, the data must be credible to the user/interpreter or the effort will be wasted.

- Interviewers: The interviewers' level of knowledge of the program as well as the skill and training in interviewing techniques is important to consider. An unskilled interviewer, or one with limited program knowledge, can successfully manage a structured written survey, but not be successful in an in-depth interview situation.

ROUTE FOUR--ANALYSIS AND PRESENTATION OF RESULTS

The theme of this route will be the appropriate analysis and presentation of the data collected in Route Three. Decisions made in Route Three will affect the choice of option here.

Option One: Manual Tally Numeric Responses

With a small sample, it is often more efficient to tally responses by hand.

Option Two: Computerized Tally

With a larger sample, a computerized system may be faster and more cost effective. Options include use of Scantron, or the Statistical Package for the Social Sciences (SPSS).

Option Three: Interpretation/synthesis

Comments and responses to open-ended questions require careful interpretation by persons knowledgeable about the program and the information sought. Vocabulary, selection of categories, synthesis or extrapolation of information depends upon the expertise of the individual recording and interpreting the results.

Option Four: Selected Survey Findings

Often it is not feasible to present, in one document or at one time, all of the data collected. In these instances, a selection must be made. The skill and expertise of the individual making the selection again is crucial. Options include involvement of program staff in this selection, identification of the material by planning staff, interviewers and/or by evaluation research staff.

Option Five: Feedback of Information to Program Staff

Just as managers can be involved in the collection of data, they can actively participate in the data analysis. The organization should bring together the planning staff interviewers and the program staff for discussion and analysis of data as soon as data becomes available.

Factors which have been mentioned as important to consider in the above options include the size of sample, type of instrument, purpose and use of the data, and whether the complete set of data can be transmitted at one time. Further consideration of these factors includes:

- Credibility: In determining the size of the sample the size of the population, credibility or political acceptability for decision making, as well as available resources and expertise are important to consider.

- Presentation: Factors to consider when not all information can be presented at one time are usefulness, brevity and the type of rating scale used in the instrument. The type of information required, i.e., percentages, mean, rankings, will determine the type of rating scales.

- The Program Manager: The sooner program managers can get feedback of information from planning staff and how they work together in the analysis are factors which affect the results of the planning effort.

- Confidentiality: Finally, there are surveys which will require confidentiality of individual responses and respondents. This is especially true when a survey includes questions or solicits comments on satisfaction or performance. A carefully thought out process is imperative, as is confidence in the integrity of the individuals handling the original data.

SUMMARY

Many different options have been presented for the identification of clients, the information needed, and techniques for collecting and analyzing that information. Different options call for different levels of involvement of program and planning staff, administration and respondents. The option chosen must fit the unique needs of the organization, its structure and decision-making process. The data collection process itself is key; data can and does change and therefore must be periodically reassessed. A palace erected on a shifting database is sure to crumble! When the process is accepted, feasible and comfortable to the organization, assessment of need can become a natural part of planning for the future. No single pre-determined process will reach that level of acceptance--the process needs to be adapted to the organization, just as the tent adapts to the shifting desert sands.

Time and patience are pre-requisites both to the design and implementation of the analysis of need for services--time for training in concept and process, time to work with program staff identifying needed information, time for synthesis and analysis of results. Above all, perhaps time devoted to the development of change strategies based upon the information.

The analysis of need, or market analysis, provides data--information for decision making--it does not make decisions. The data must be up-to-date, adequate in terms of size of sample, tested at the practitioner level, and presented in a useful way. But data is no substitute for judgement and the best judgement is based on a balance of data and knowledge built through experience--"gut" or intuition, if you will. Ultimately, however, someone within the organization takes responsibility for using the data collected during the analysis, together with professional judgement, in making decisions regarding the future.

CHAPTER FOUR--ANALYSIS OF CURRENT AND FUTURE EXTERNAL FACTORS
(Environmental Analysis)

FOCUS: WHAT'S HAPPENING OUT THERE IN THE REAL WORLD?

The "destination" of the environmental portion of the journey is the identification of probable future trends or events, together with implications, which are likely to impact programs within the organization.

This is a journey into the future. It is an adventure in exploration of probabilities. The outcome of the journey will determine the approach to other adventures, problems and challenges.

Depending upon the skills, expertise, background and experiences the traveller brings to the adventure, there may be little new information. Rather, on this journey, the traveller can expect to experience a broadening of vision, integrating and bringing into perspective a great deal of information and knowledge. The ultimate destination of strategic planning is for the traveller to achieve a systematic decision-making process using the vision and perspective gained in the journey into the analysis of the environment.

Local school districts operate within the context of a larger environment; they do not operate in a vacuum. This is probably even more true of an intermediate education agency since it serves as an arm of the state, sometimes as an arm of the federal government, and can have such a multiplicity of functions, including direct instruction to children. An analysis of this environment examines external forces which impact the organization. In this trip, the larger environment is defined as the social, political/legislative, economic and educational strata of the state and the nation. Factors in each of these arenas directly or indirectly affect policies, the ability to meet demands for service and even the overall mission or purpose of an organization.

For example, an agency may make a policy decision to provide a service for which there is a need and which is appropriate within its mission, although such a service may be little known or understood by state political leaders. Depending upon society's perception of the need, the financial and political support may, or may not, be available to provide that service. If an agency is aware of political attitudes, the choice can either be made to abandon the program, based upon lack of support, or to actively work to see that support is forthcoming, if it is determined that the program is too important to be abandoned. In other words, with an understanding of what is happening in the "outside world," decision makers have a choice in shaping the future of the organization.

A complete analysis of the environment includes identifying elements to be included, collection of data, analysis of data to identify trends and implications, presentation in a manageable format, review and update. The basic purpose is to provide management with information about the "outside" world which will be useful in setting the direction of the organization. Information must have a broad enough scope to use in setting the direction of the total organization, yet be specific enough to be useful in determining trends and implications to individual programs. Below are examples of two environmental "snapshots".

Through the collection of information and development of trends which will impact education, alternative scenarios of the future can be developed from which choices can be made. This futures perspective, with the possibility of a choice in that future, is central to the strategic planning effort.

Snapshot: There is an identifiable trend in Santa Clara County toward an increase in the Asian population. This trend has implications for education, for example, in curriculum and staff development. Implications for specific programs within the county office might include providing additional courses to teachers to help them understand the major Asian cultures from which the immigrants have come, learn teaching strategies, and develop curriculum materials

Snapshot: There is a trend throughout the United States toward an information based society--information technology through computers. The implications for education include providing curricula that will allow students to function in the new technological era, locating funding for the "hardware" and "software" necessary, and providing staff development in the administrative and classroom use of computers. Implications for the county office are in curriculum development, including software analysis and evaluation, and in providing courses for teachers and administrators in use of the technology in both classroom and office.

CHOOSING THE RIGHT ROUTE

Because the destination is the identification of probable trends, together with implications for the organizaton, there are a number of routes from which to choose. For a variety of reasons (politics, time, resources, etc.) a combination, or "scenic" route may be preferable to a more direct route. Some of the routes are: Establish an Analysis Team, Develop Alternative Scenarios of the Future, Interviews, Literature Research, Seminars and Conferences, and Public Forum.

How do you choose the most appropriate route? What information is needed? What affects the organization? Who can identify the information needed? An intermediate unit probably does not need to have information on the number of live condors, the annual rainfall, or the rate of enlistment in the Navy, but does need information on what the legislature is considering in educational finance and demographic information on the number of children under the age five. One of the challenges is to narrow the scope of data collection/information to a manageable size. Another is to identify, at each step, how information will be channeled to and from management, staff, governing board and public.

What resources, or "vehicles," are available to reach the destination? A constant balance needs to be achieved between level of participation, time, and resources. Choice of a particular route will be based upon and determined by who can be or needs to be involved and what role they will play.

In practical terms, how can the expertise of internal managers and staff be used? Will only in-house staff be involved in the analysis or can outside resources, or "experts," brought into the process. If so, in what areas and how will they be used? What is the role of the planning staff?

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************************************************************
*  Warning:  Hazardous journey ahead.  Alternate routes    *
*  available.  You may want to try all routes, but be     *
*  prepared for a long, arduous and costly adventure.      *
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ROUTE ONE--ESTABLISH AN ANALYSIS TEAM

The expectation in taking this route is that a team of individuals will work together to identify trends within society and within education itself which have implications for planning for the major programs of the organization. The Team may identify data needed (i.e., elements in the environment to be examined), collect and analyze the data, as well as extract the trends and implications.

The Team, depending upon its membership and expertise, may also formulate alternative future scenarios, as described in Route Two.

Option One--In-house Team at Staff Level

The analysis team is comprised of planning unit research, writing and management staff, plus representatives from each major operating division of the organization. There is latitude within this option to include additional staff, such as the budget officer, evaluation or research staff. This team configuration is fairly easy to initiate, since all team members are staff of the organization. It does not, however, directly tap the thinking of top management.

Option Two--In-nouse Team at Top Administrative Level

The team includes the Superintendent or chief administrative officer and top administration, i.e., Assistant Superintendents, from each major operating division. The planning unit serves as staff to the team. The strength of this approach is that thinking of top managment is brought directly into the process at an early stage as well as the psychology of working as a team. This team effort is often more difficult to achieve when the team is composed of individuals who are each leaders in their own arena--each is used to being the "team leader." A weakness to this approach is the extreme difficulty which may be encountered in getting an adequate time commitment.

Option Three--In-house Team with Outside Expertise

In addition to in-house team members, whether at staff or superintendent level, the organization can add local educational agency representation at the Assistant Superintendent or Superintendent level, an economist, legislative analyst, futurist or others identified as necessary to the process. Depending upon the organization, its purpose and clients, this option expands the total team expertise and viewpoint.

Snapshot: The first Analysis Team the at the Santa Clara County Office of Education was composed of the Assistant Superintendents from each division of the Office, two District representatives (a Superintendent and an Assistant Superintendent for Curriculum), an economist and futurist from SRI International.

The second Analysis Team consisted of the entire Superintendents Council of the Office, which includes the Superintendent, Chief Deputy Superintendent, and Superintendents. Two District Superintendents and an economist/futurist completed the Team.

Option Four--Board of Interpreters

This option calls for a panel of experts to identify policy issues and trends in education. The panel can include individuals from inside the organization and/or other recognized leaders. Areas of expertise would need to cover a broad spectrum within education and include curriculum, finance, governance, staff development, and labor relations, plus specialized areas such as vocational or special education. The panel identifies two or three major issues facing education and particularly the intermediate unit. These issues are then the topic for in-depth policy analysis.

The panel can work in private, work-study sessions, and/or convene in a public session, with intermediate unit and district board, administration and staff in attendance.

When considering this route, the following factors will be important to keep in mind:

- Risk/perspective: During the original development phase of a planning process, using an internal, staff-level team maintains internal control, reduces exposure and avoids broadcasting any shortcomings during the learning stage. Although this option may appear to have less risk, in the long run it may increase the risk to the overall process if support of top management is not maintained or if a broad enough perspective is not achieved.

- Time/Style: Ability to commit time is a key factor, especially when top administrative officers form the analysis team. In depth analysis of the type necessary requires substantial blocks of time, away from distraction of telephones or other appointments. It also requires ability to function in a consensual mode as the broad range of trends in society is discussed and focused on implications for education.

- Use of results: To whom the team conveys the results of its work--the trends and their implications for education programs within the organization and how the results will be used in the planning process needs consideration.

- Expectation: The expectation or purpose of the activity itself, i.e., information gathering, and expectation regarding what the activity will do to the planning process, i.e., how it will fit, needs to be considered. Is the purpose to gather information, or is the purpose also to disseminate information to those participating, increasing awareness and understanding of the process itself?

- Responsibilities: What the team is responsible for needs to be a major factor in determining the selection of team members. Is the team to reflect the thinking of top management, or provide independent analysis of information, which then will be presented to top management? What level of activity is expected of the team members? If the team is responsible for activity such as outlined in Route Two, Scenarios, its composition will probably be different than if the level of activity consists of examination of available documents, such as census reports or enrollment projections. Is the team responsible for identification of the data which needs analysis, its collection or origination, or is its job the analysis and interpretation?

- Expertise/resources: Few planning units have internal staff with wide enough expertise to both identify and provide data for each of the major areas which are likely to be included in any environmental analysis. For example, the art of future forecasting or outlining probable alternative futures is a highly specialized field. Future forecasting in economics as well as in a very broad social context provides a solid base of information on economic reality and social probability. In addition, without district representation on the Analysis Team, the perspective for the intermediate unit is from "inside out" rather than allowing for "client" perspective.

ROUTE TWO--DEVELOP ALTERNATIVE SCENARIOS OF THE FUTURE

Alternative views of the future can be developed based on logical probabilities.

An established methodology in planning is the development of one or more views of the future based upon logical probabilities. Often, at least two alternative scenarios are developed, based upon "Best" and "Worst" probabilities. The scenarios are based upon data determined to have potential impact on the organization.

Option One--Developed by Analysis Team

The Analysis Team will identify the information upon which scenarios will be based, and with planning staff, prepare the scenarios.

Option Two--Developed by "Futuring Expert"

The "futuring experts", working with the educational experts on the Analysis Team and planning staff, will identify the elements to be included, prepare the scenarios and review them with the Team. (See Appendix 1.)

Option Three--Planning Staff Reviews Data; Develops Scenario

Internal planning staff will review collected data and prepare scenarios, or a document projecting into the future which hypothesizes about "how things will be" in various educational programs or with various issues in education. (See Appendix 2 - DATELINE 1988).

When considering this route, there are a number of factors to keep in mind.

- Team Makeup: First, the choice of route will depend upon the makeup of the Analysis Team, the expertise, resources of the planning staff and on the year, or place along the route, of planning. If the planning process is in place in the organization (one "trip" has been made and "destination" reached), a solid data base developed with alternative future scenarios, then an "update" mechanism may be the internal analysis and preparation of the position paper on "how things will be." An example of such a document is shown in Appendix 2 - DATELINE, 1988.

- Concentration: With education's financial woes, the temptation to concentrate on economic analysis and forecasting is great. In planning the analysis, however, serious consideration must be given to obtaining a broad social perspective. An economist will provide one perspective; a social futurist provides a counterpoint. Using the expertise of external economists and social futurists also brings the extensive resources of other organizations to bear on the planning process.

ROUTE THREE--INTERVIEWS

Individual and/or small group interviews can be conducted with people who have expertise/experience in specific areas included in the analysis of the environment or programs currently operating within the environment. For example, interview an individual with expertise in demographics and an individual with expertise in bilingual education. The organization can use internal managers, staff, district contacts and/or the analysis team to identify potential interviewees.

Interviews can be based upon alternate future scenarios, if they are available, or on questions developed by staff. The organization should provide interviewees with the scenarios and/or questions in advance of the interview and can involve the analysis team, and appropriate internal program managers in the development of questions.

Option One--Personal, Individual Interviews

A planning staff member and/or Analysis Team member conducts the personal interview, and transcribes the result from a tape recording or notes. A scenario and prepared questions are used as a base, enhancing and developing additional themes as the interview progresses.

Option Two--Individual Telephone Interview

The interviewer pre-arrange the interview (making one call to explain the process and obtain consent to interview). A specific appointment for a second telephone contact to conduct the interview is set at that time. The interviewer then mails scenarios and/or questions with adequate time for interviewee to review prior to interview call.

Option Three--Personal Small-Group Interviews: Same Subject

The organization brings together a group of people with expertise in the same area, for example, all with expertise in public relations or migrant education, and records and transcribes the results.

Option Four--Personal Interview: Complementary Expertise

Another route is to bring together people with complementary expertise. This group might include people with information on current legislation and the state-wide economic outlook.

Option Five--Internal Interviews

Interviews are conducted with internal staff members who have expertise in the particular subject area.

Option Six--External Interviews: Program Specific Expertise

Interviews are conducted with individuals separate from the organization who have expertise in a specific area. They may be persons with expertise in education or in other areas such as demographics, economics, legislation, etc.

Option Seven--External Interviews: General Expertise

The interviewers may conduct in-depth interviews with individuals who have broad knowledge and perspective; i.e., district superintendents for an overview of issues faced by districts, or assistant superintendents for curriculum or staff development issues. In one instance, in-depth interviews were conducted with district superintendents. Two interviewers, each taking notes, conducted the hour and a half interview, covering a range of issues from identification of significant trends in society to need for services. In this instance, the interview results were pertinent for both the environmental and market analysis. (See Appendix 3 - Sample interview questions.)

When considering this route, the following factors will be important to keep in mind:

- Credibility: The real value of the information collected through the interviews is in the credibility of the material/data collected. Therefore, the people using the information need to: have opportunity to suggest interviewees; formulate questions; and generally be involved. Obtaining a balance of viewpoints is essential; (only supportive opinion may come from internal staff); negative or contradictory opinion needs to be solicited. Planning staff remains neutral and researches to obtain a variety of opinion.

The candor of the interview may depend upon whether the interviewee is to be quoted or whether the information is for background. Internal expertise should not be overlooked (there may be nationally known experts in-house, for example). In other cases, external opinion may provide a broader perspective.

- Resources: Again, expertise and resources may dictate routes. Transcribing tape recorded material is time-consuming; a staff member may be able to take notes and transcribe more quickly. Travel is expensive; long distance telephone interviews may be more feasible.

- Follow-up: Sending transcriptions of the interviews to the participants provides opportunity to verify data and up-date information for a subsequent planning phase.

ROUTE FOUR--LITERATURE RESEARCH

In this route, staff reviews current literature (periodicals, newspapers, books) in pertinent areas. Significant information on trends and implications for educational planning can be extracted, summarized, and included in planning documentation.

Option One--Planning Staff Research/Review

Planning staff identifies, reviews and summarizes material. Staff must have background/expertise to be aware of resources/topics.

Option Two--ERIC Search

Library staff conducts search, planning staff does review and analysis.

Option Three--Graduate Student Research/Review

A person outside the organization is hired to research and summarize information, based on identification of topics/needs by planning staff.

Option Four--Program Managers Identify Source

Program managers identify sources and topics. Research and analysis is done by planning staff or outside person.

When considering this route, the following factors are important to keep in mind:

- Timeliness of information: Some areas within the environment must be constantly tested and reviewed. In others, events occur rapidly; legislation, for example, can sometimes move quickly through committees. In these areas, recency of research becomes a key factor. Reviewing and summarizing a book may provide little valid information, where weekly or monthly monitoring of certain newsletters may provide valuable data.

- Purpose: Literature review must be suited to the subject and the purpose, whether it is to provide a foundation of basic information or to monitor current events.

ROUTE FIVE--SEMINARS AND CONFERENCES

Key areas in the environment can be identified for monitoring; attending selected conferences keeps staff abreast of very current theories, usually before material is available in print.

Option One--Planning Staff

Planning staff attends conferences and includes information in documentation.

Option Two--Other Staff

Staff from other units attend conferences and provide notes/tapes to planning staff.

Option Three--District Representatives

District representatives, perhaps those who have served with the analysis team or with whom staff has direct contact, attend and provide notes/tapes to planning staff.

ROUTE SIX--PUBLIC FORUM

In a public setting, with an invited audience, topics of general interest to the education community may be examined.

Option One--Structure: Panel Interviews

One route is to conduct panel discussions or interviews with resource people expert in the topic area. As with the individual interviews, the interviewers will provide questions, an explanation of the purpose and format of the Forum to participants in advance. The questions can be drawn from implications in scenarios, if they have been developed, or based upon expertise of program managers and school district representatives. The interviewers will use the questions to begin the interview or discussion, encouraging the participants to expand upon these and additional topics. One hazard along this route is being locked in to the pre-determined questions. A facilitator and/or member of the planning staff or analysis team should direct questions to participants. Decisions will need to be made as to whether the entire audience will listen to the same panel/interview, or whether two or more options will be provided, based upon audience interest. (See Appendix 4, Sample Agenda)

Option Two--Structure: Workshop

An alternate to the interview format is to provide a workshop setting, have a small group generate ideas, pool expertise on a particular subject, and have a resource person summarize, synthesize and expand upon the subject. This format would be particularly appropriate for a group with considerable expertise, or where the task was to identify trends and implications from the larger societal picture and to focus those trends upon education, or a particular aspect of education -- for example, employment trends focused on vocational education.

Option Three--Keynote Speaker

One route may provide the audience with an introductory, keynote speaker focusing on general "futures" issues, current state of educational finance, legislation, etc. The keynote presentation will draw the audience into thinking in a futures mode prior to participating in interviews, workshops, etc.

Option Four--Structure: Audience Team

The organization may specifically invite each district or educational agency within the county to send a "team." The suggested team would include board member, superintendent, principal, teacher, classified representation and parent.

Option Five--Topic Choice

In this option the choice of topics will be key; they must be suited to the interests and needs of the participants as well as the purpose to be achieved. As long as they are of general interest, topics can be program specific, (vocational education); concerned with areas common to all, (personnel resources or labor relations); or directed toward very broad philosophical issues, (general needs of children or society's perception of education). Topics such as computer technology will be of interest to districts from elementary through community college as well as intermediate agencies. Topics can be in both instructional and support areas.

There will necessarily need to be a balance between the choice of topics and resource people available.

Topics to be included in the Forum will be determined by the planning staff and/or the analysis team, with a process to obtain suggestions for topics and resource people, or speakers, from internal managers.

When considering this route, the following factors will be important to keep in mind:

- Presenters/Participants: In selecting resource people to participate in the Forum, it is essential to ensure that a balance of opinion and perspective will be presented. For example, if a topic is collective bargaining, resource people should include representatives from various professional associations, unions, management, negotiating experts and perhaps a professor, or academician, who is expert in school law and collective bargaining.

- Use of Information: It should be determined how the material presented in the Forum is to be used. In some manner this information should be included in the planning documentation. Consideration must be given to tape recording, transcribing and summarizing the information. Transcribing and summarizing information from tapes can become a lengthy process. An alternative solution is to have notes taken, if a person is available with excellent skills in this area.

- Announcements/Invitations: Announcements and invitations to participate need to be sent out well in advance, with consideration being given as to whether or not a response is needed indicating the number of people attending from one district/agency. Media coverage before the event, announcements in county-wide publications and internal house publications need to be scheduled. Depending in part upon the purpose of the Forum, invitations can be extended to media representatives, legislators, and other community people. Announcements and invitations will provide an opportunity for this larger audience to become more aware of challenges/problems in education and how people in education are approaching those problems.

- Time/Location/Facilities: As with any conference or workshop, attention must be given to time of day, time of year, and location and arrangement of facilities. If the audience will consist of people other than employees (i.e., board members, community representatives), scheduling will need to be different than if employees comprise the total audience. The event can be scheduled for late afternoon, early evening or on a Saturday. One option is to schedule from approximately 4:00 to 9:00 p.m., with a dinner break, providing a buffet or light supper. With this option, thought must be given to meeting expenses, charging for the dinner or charging a fee for the conference. In one instance, a buffet was actually prepared by planning staff and a small fee ($2.50) charged to cover expenses. Use of cafeteria facilities and personnel is another option. The danger in not providing a "light supper" or buffet if the event in scheduled from 4 to 9 is that if the audience must leave the site for food, it may delay the start of the second half of the presentation and a portion of the audience may be lost.

Planners should avoid the very beginning or ending of the school year, when site people are overwhelmed with work, and be cautious of scheduling too near major holidays. The Forum should be centrally located for easy access by the majority of districts. This may be the County Office, or could be at a district site. Facilities need to be tailored to the nature of the presentation. If a panel interview format is chosen, chairs can be in simple theater style, or chairs and tables for note-taking, or eating dinner. If the workshop format is chosen, tables may be necessary or wall space for charts, etc.

- Fee: Whether to charge a fee raises the issues of providing adequate time and resources for collecting and accounting, as well as the double-edged issue of whether it will enhance or detract from attendance. Because of the commitment of paying in advance, people seem to be more likely to attend. The other side is that people may not commit at all if there is a fee attached. As mentioned, this also depends upon whether food if available, as well as whether expenses for speakers must be covered.

- Analysis of Data: Data collection may be the easy part of the process! The process used to analyze the data and to identify trends and implications is perhaps as central as the data itself. Program managers are involved in identification of issues and questions, resource persons, literature, etc. Planning staff will carry major responsibility for the collection of the data. From that point there are several alternate routes for the analysis, depending upon the breadth of expertise, time and resources:

  - Planning staff can analysis the data, drawing out both trends and implications.

  - Planning staff can extract trends and implications and return to program managers for review.

  - Original data can be returned to program managers, who extract trends and implications.

  - The analysis team can extract trends and implications, with or without assistance of economists and futurists, and provide data to managers for review.

  Regardless of which choice, the more opportunity managers, staff and administration have to review and assimilate the data, the more credible the process and the results. It is also important to recognize that trends may be identified which run counter to each other. For example, there may be a trend toward increasing need in a particular area (i.e., computer education), and at the same time a trend may indicate fewer resources to meet that need. (See Appendix 5 for examples of original data, trend statements and implications based upon the data.)

- Yearly Review: Certain areas need either constant, or yearly, monitoring. Planners should schedule a second cycle of interviews, with legislative or economic experts, for example. They should schedule additional interviews with new participants to gain a different perspective, and should provide transcriptions of interview notes to interviewees, with requests for verification or additional comments. (See Appendix 6 - Interview Follow-up.)

Newspapers and/or periodicals can be monitoried on selected topics; including editorial comment for attitude and trend changes.

Yearly results of national surveys can be compared with local trends.

Key issues in organizations and programs can be identified and monitored on a selective basis. For example, organizational support of key legislation.

Trend statements can be compared from one year to the next, noting changes and verifying changes/implications with program managers. (See Appendix 7 for sample memo and sample request for information from program managers.)

SUMMARY

Strategic planning requires strategic vision--a clear image of what is desired. This analysis of external factors projects all who participate into the realm of future probability, enhancing strategic vision. The strength of the process lies in identifying trends which impact education, searching for implications, developing alternative choices and setting a course of action based upon the best choice for the future of the organization. At best, this process enhances the possibility of achieving the desired future, and at least can influence or mitigate the impact of negative probabilities.

This analysis of external factors in the environment is relatively new to educational planning, but education no longer can exist with an ivory tower mentality. The environmental analysis clarifies how the organization is connected to events in the larger environment--the outside world. It can identify and allow the organization to deal with conflicting trends which can lead to conflicting goals and expectations. Together with the clearly defined purposes of the organization and the assessment of client need, the analysis of external factors and development of alternative choices for the future sets the stage for the next journey into decision making.

For in truth, the view of the future has much to do with the decisions of the present, which in turn shape the destination of the organization as the safari continues.

CHAPTER FIVE--ROUTES TO ACTION

FOCUS: DECISION AND ACTION--WHAT HAPPENS AFTER THE DATA IS COLLECTED?

The "destination" of this portion of the journey is the use of planning data in moving the organization toward the achievement of its identified purposes, or mission. This is truly a safari across the shifting sands of the political, decision making culture of the organization and may be the most perilous of all the adventures the strategic planner has taken. For if the results of the data collection and research are not translated into action for the organization to achieve its purpose, planning has been on a trip to nowhere, endlessly circling in the desert sand, and will ultimately die from dehydration of resources.

The safari entails the development of a process for presentation and review of the information to decision makers at both administrative and policy levels; the identification of decisions that need to be considered based upon the data and a structure for making those decisions; (i.e., future funding, policies, strategies, level of service); a structure for setting priorities for the services the organization provides; the synchronization of budget, evaluation and planning activities; and finally the translation of the policy decisions to action at the program level.

CHOOSING THE RIGHT ROUTE

The purposes of the organization have been defined, the need for services identified and the external factors in the environment which affect the organization analyzed. The package is ready. How is it to be delivered and what is to be done with it? Careful attention to choice of route at this point is critical.

The planning staff has probably been feverishly preparing for and taking the preliminary excursions described in the previous chapters. It is conceivable that until this point little attention has been paid to the effort, either by program managers or decision makers, even though many of the route options actively solicited, cajoled, encouraged, browbeat or intimidated a certain level of involvement. But that was during the data collection, or research, phase of strategic planning; decisions affecting the future of programs were yet to be made. The journey to decision making is next and the route must be chosen. Those who do not participate, for whatever reason, in travelling the route may not understand either the implications of the data or the decisions. They are therefore unlikely to accept, or own, the decisions and certainly will experience difficulty implementing any actions based upon those decisions. Never has the decision as to who travels the path been more critical to the planning process.

The routes described below again present various options. The routes are not totally sequential; certain routes may be omitted and certainly there are options within each route. At each juncture, questions must be asked. Who needs to be involved? In what way? Who makes the decisions? Who needs to understand those decisions? Who is going to have to act upon decisions? What action will be required? What will happen if the decisions are not understood, not clear, cannot be implemented?

ROUTE ONE--PLANNING WORKSHOP: ADMINISTRATIVE REVIEW TEAM FOR ANALYSIS OF PLANNING DATA

The expectation in taking this route is the development of an appropriate format for review of the planning data by the administrative officers of the organization. Each of the options presupposes that the review will take place in a workshop setting. The options are in the level and type of participation by various travellers.

Option One: Administrative Review with Planning Staff

In this option, the administrative body (superintendent, assistant superintendents, etc.) meets with the planning staff. The data is transmitted to the administration prior to the meeting, which is held in a setting where the group is likely to be uninterrupted and therefore will be able to focus its complete attention to the review. Staff provides facilitation in moving through the information.

Option Two: Administrative Review with Planning, Budget and Evaluation Staff

This option expands the staff participation to include the budget officer and evaluation staff. Although planning should avoid being driven by the budget, budget information impacts decisions. The presence of the budget officer enables administration to have first-hand, up-to-date information on programs throughout the organization. Evaluators provide the added dimension of in-depth assessment.

Option Three: Administration Review including Analysis Team

If district representatives and any outside resource persons served on the analysis team defined in Chapter Four, they can be invited to participate, particularly in the part of the review that covers their area of expertise or interest.

Option Four: Administrative Review with Program Managers

Line managers participate in the review in this option. Although the managers will have worked with their respective administrators and the planning staff in the development of program information, the managers can serve in either of two ways. The first sub-option would be for the managers to present the program review to the administrative staff; the second sub-option would be for the responsible administrative officer to present the review, with the line manager serving as resource for addditional, more specific program information.

The advantage in having the line managers present at the review accrues both to the administrative team and the manager. There is increased liklihood that all pertinent information will be available, plus the managers' sense of participation in the decision making process will be enhanced. The drawback may be that the number of people involved makes the structure so unwieldy or time consuming that decisions cannot be made.

Factors that are important to consider include:

- Participation Level: Determining the appropriate level of participation of various players, remembering that the greater the number of people the more time a process usually consumes.

- Decision Model: Determining in advance whether the administrative officers will work to achieve consensus, operate by majority vote, have all votes equal, etc. It may take longer to achieve consensus, but in the long run the decisions may be more fully supportable.

- Facilitation: Considering the level and type of facilitation and by whom it will be provided. In addition to being able to move through the agenda, the facilitator(s) must have personal credibility and be viewed as "neutral" or with no axe to grind.

ROUTE TWO--REVIEW OF GENERAL PLANNING INFORMATION

This route is taken within the structure of the options of Route One. After decisions have been made about who is participating and at what level, how is the stage to be set for the program by program review? That is the expectation in Route Two--that through the choice of one of the following route options the stage will be set.

Option One: Overview of External Environment

If an "outside" expert futurist and/or economist participated in the analysis of the environment including the identification of trends and implications for the organization, that person can be called upon to make a general presentation of findings to the administrative staff. This sets the overall scene.

Option Two: No Review of External Factors

If the total administrative staff has served on the analysis team, participating in the identification of trends and their implications, and is experienced in the planning process, it may be possible to dispense with the general overview and start the agenda with specific program reviews.

Option Three: Staff Review

In this option, appropriate staff members present a general overview, or summary of information. The Budget Officer presents the budget and fiscal overview, and planning staff reviews general trends, policy implications and organizational mission.

Factors to consider:

- Expertise: The necessary amount of background review prior to specific program review will depend to a great extent upon the level of expertise, experience and comfort of the administrative staff with the planning process. The higher the level, the less background information necessary.

ROUTE THREE--PROGRAM REVIEW

The expected outcome of this route is the review and analysis of planning data available for the programs of the organization. This review will include the statements of purpose or mission, the need or demand for service, the factors or trends in the environment together with their implications, and the assessment of the accomplishments of the program in meeting its current mission. There are options in how the review can be conducted as well as the length, level of detail and expertise necessary to bring to the process.

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* Snapshot: A "storyboard" format is one means of *
* organizing a large amount of data for easy visual *
* reference. This concept was used at the Santa Clara *
* County Office of Education. One open page, both left *
* and right sides, contains the information needed in *
* summary form. See Appendix 1. *
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Option One: Review Conducted by Responsible Administrative Officer

In this option, the review of the planning data would be conducted by the administrative officer to whom the line manager reports. In essence, the administrator would both participate on the review team as both a presentor and receiver of information.

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* Snapshot: The Assistant Superintendent for Business *
* presents information on District Business Services and *
* the Controller's Office. The Assistant Superintendent *
* for Instruction presents information on Media Services *
* for districts and Headstart. *
****

The administrator responds to questions from fellow administrative team members regarding the program. Planning staff serves as resource regarding the planning information itself, not on the program; the line manager may or may not be present to respond to program specific questions.

Option Two: Review Conducted by Responsible Program Manager

This option presents the line program manager the opportunity to present the planning information. The responsible administrator or division head, having received and approved the information prior to the presentation, is able to function as a member of the administrative team receiving the information at this point. The planning staff again serves as resource regarding the planning information itself, i.e., how data was gathered, selected, etc.

The line manager in this option bears both more responsibility and opportunity. There is greater possibility of managers "owning" the planning information when they must interpret it to other. The administrative officer is able to focus on the review team function.

Option Three: Review Conducted by Evaluation Staff

The staff member responsible for the evaluation of the program presents the planning data. The line manager may or may not be present. If the manager is present, he serves as a resource for questions regarding the program, as the planning staff does regarding the collection of data. The administrative officer is again able to function more as a member of the review team.

Factors which will be important to consider:

- Level of Detail: The closer the reviewer is to the program the more liklihood that the data can and will be presented in greater detail and in greater length. The desired level of detail will need to be balanced against the amount of time available.

- Expertise: Units have differing sets of technical expertise, i.e., business, special education, television media. The level of questioning by the review team and the level of specific expertise must be appropriate.

- Board representative: Consideration may be given to having the Board president, or designee, attend the administrative planning session as an observer. The decisions may depend, in part, on the ability of the individual to "observe" without sending subliminal messages during the administrative deliberations. The observer will gain a more complete sense of the process and how the results were achieved. This can be a particular advantage if the observer is the president of the board who then must move the process through the board deliberations.

ROUTE FOUR--ADMINISTRATIVE DECISION MAKING FOR THE FUTURE

All of the preparation has lead to this point in the journey. The expected outcomes of this route are decisions shaping the direction of the programs of the organization. The options below define the types of decisions that can be considered. Depending upon the need, expertise and trust in the process different decision points will be chosen by different organizations or different decision points will be chosen by the same organization at different times.

Option One: Define Long Term Direction

In this option the administrative officer responsible for the program indicates the long term direction for the program from one of the following choices: Decrease level of commitment/activity, maintain at current level of commitment/activity, increase level of commitment/activity. Commitment in this case refers to commitment of resources to accomplish the activities of the program. The facilitator of the group elicits comment from other members of the administrative team. If the group is operating on a consensus model, the facilitator, using a round-robin approach, leads the group to consensus.

This option provides the administrator responsible for the program the initial opportunity to set the future direction of the program and provide a rationale upon which to base discussion. This option can be taken regardless of who has presented the program review data in Route Three.

If a group is working through this process of decision making based upon program review and planning for the first time, this is a non-threatening first step. If the group is experienced or sophisticated in the process, the first decision point may need to be more sophisticated.

Option Two: Identify Funding Source - Current and Future

This option requires the identification of program funding sources. This may appear to be a very straightforward bit of information, perhaps even expected to be common knowledge. Depending upon the size and diversity of the organization, however, identification of funding sources can be rather complex and can change through the history of the program. This information can be provided by the administrative officer, the line manager or the budget officer, either in written or verbal form. The presence of the budget officer at this juncture is an asset, especially if the budget officer has been working with the planning staff as described in Route One, Option Two, and can cross-reference the budget and planning information.

Following the identification and agreement upon current funding sources, the administrative review team, operating in its chosen mode, identifies the future funding source. Identifying the "future" as no more than five years ahead is likely to be most successful. Following the consensus model described in Option One, the administrator responsible for the program would identify the anticipated future funding source, comments would be elicited from other team members and the facilitator would lead the group to consensus.

This option is a more specific definition of the future commitment of resources and level of activity of the program than Option One, especially if the source of future funding differs in significant ways from current funding. One example is a program which has been on a categorical grant, which is ending and future program activity depends upon support from general fund monies.

Option Three: Short Term Directives

In this option, one-year or short term strategies are identified and directed to the program manager. As with Option One, this is a step which can be successful with a group less experienced in planning based upon alternative future options since the "future" in this case is but one year away. However, because this option has such a short term focus, it should definitely be viewed as a transition step in the overall route to strategic long range planning. This is also an easy transition if managers within the organization have been used to setting yearly objectives. These short term strategies provide guidance to the manager in thinking about those objectives, particularly if new directions for the program are being considered by the administration. When true strategic long range planning is in place, these short term directives will be identified each year based upon the long range strategy.

Option Four: Key Elements of Programs in Five Years

A group more experienced in planning based upon alternative futures may choose to identify key elements of programs as the review team feels they are likely to appear in five years. Even for an experienced planning review team, this option is a challenge and can be perilous. If a description of the current program is like a photograph, the five year description is equal to an initial sketch of a painting. But an initial step, however tentative, must be taken. However, it can be viewed as a quantum leap rather than a preliminary step depending upon the level of participation of line managers, the time available, the knowledge of the review team with programs throughout the organization, the natural tendency to want to imprint one's own desires upon the program and the possibility of neglecting to address the feasibility or appropriateness of certain directions. This initial program description can, however, be the catalyst to focus the attention of line managers to the entire planning process. In essence, the review team, through the description of the program as they think it should appear in five years is making a choice of an alternative future.

The second step to this option would be the identification of a route for line managers to pursue in reviewing the initial descriptions and developing a comprehensive long range description of the program as it should, or is likely to appear in five years. Route Six elaborates the options for the comprehensive program description.

Option Five: Composite Information

In this option, the review team provides both short and long term direction to the line managers through the definition of future funding sources, one year strategy directives and five year skeletal program descriptions. In this way the review team meets two objectives. One, providing basic policy analysis to carry to the governing board and two, providing administrative direction to managers within the organization.

Option Six: Identify Guaranteed Level of Service

In this option, the review team identifies the "bottom line" for the program--a minimum guaranteed level of service which will be provided to clients as long as the program functions. If the program is mandated, the program will continue to function at this level. If on the other hand, the program is not mandated, the options will include termination of the program if resources are not sufficient to maintain the program at the minimum guaranteed level.

Option Seven: Identification of Additional Information Needed

Particularly in the first round of program review of this type, the administrative review team may find that further information is needed. Recording such requests for information allows the planning, budget and/or evaluation staff and program managers to establish parameters for continued planning effort.

Factors to consider in choosing a combination of the above options:

- Organizational ambience: Where the organization is; what decisions are required immediately, what can be delayed. If the organization is in turbulence or crisis, some issues may need to be addressed immediately; others are better deferred until a more tranquil period. Even in the most turbulent of times, some periods of relative stability may provide a more appropriate time for analysis of certain issues.

- Expertise and Experience: Not only the expertise and experience of the review team and planning staff, but of the line managers within the organization. Planning for the future requires being ahead of the crowd, but not so far ahead that the staff which will implement the planning strategies is left behind. Leaders are leaders only when there are followers.

ROUTE FIVE--COMPREHENSIVE LONG RANGE (FIVE YEAR) PROGRAM DESCRIPTIONS

The expected outcome of this route is a comprehensive program description of how the program should appear in five years. In Route Four, Option Four, a preliminary five year program description is developed by the administrative review team. That initial description serves the purpose of giving program managers an idea of the general perception of the program by the administration. In this option, the program manager is responsible for the development of the complete program description. Route Four, Option Four described even the development of preliminary five year descriptions as a quantum leap. This route does not require a leap; rather, it is a meticulously planned, step by step progression across hazardous difficult terrain. Not only how the task is accomplished, but what the description includes, who decides, how it is packaged, and how it is worked through the heirarchy of the organization and presented to the administration and board become important considerations.

The incorporation of this option into the process definitely changes the decision making from the operational mode of one year to the longer term strategic mode. In addition, policy decisions are more likely to result from the five year view rather than the one year operational view.

Option One: Pre-packaged Information

In this option the planning staff pre-packages as much basic information as possible for the line managers to work with. This can include adopted statements of purpose, program descriptions, funding information, as well as information extracted from the environmental trends and needs of clients. The advantage to pre-packaging is efficiency in use of line managers' time, and in consistency of format. A disadvantage can accrue if information is extracted and pre-packaged which requires the judgment of the program line manager. For example, the judgment as to which trends and implications may affect a particular program is best made by the manager with responsibility for the program rather than exclusively by planning staff.

Option Two: Current Program Description

In this option the manager develops a complete description of the program as it currently exists, providing a "reality base" for the five year description. This is the "photograph" of the program. The description can include the existing mission statements, program descriptions, revenue amount and sources and functions or services, together with an assessment of the level of effort, that the unit performs.

The functions performed can be grouped into major categories, i.e., Direct Instruction to Students, Internal Support Services. Each function is described in enough detail to make it understandable to someone with the program manager's expertise. An estimate of the percent of total program budget dollars is presented to determine the level of effort of the specific function within the program. In addition, the manager describes in measurable terms the current level of service. The measures are chosen which are appropriate to the function, i.e., ADA counts, numbers of districts served for an IEA, numbers of staff trained, hours spent.

Option Three: Analysis of Trends

The line manager identifies future trends, together with their implications, which may impact the specific program. The manager bases the report on technical expertise in the program area, knowledge of public education and society in general, as well as a review of the the strategic planning information described in Chapters Two, Three and Four -- the statement of purpose, the need/demand for service and the external factors which affect the program.

Option Four: Description of Future Program

This option paints the picture of the program in the future, in as much detail as is feasible. The painting may turn out to be impressionistic, surrealistic, or American realist. There are two sub-options available. First, the program can be described in terms of the changes from the current situation, with the impact of those changes. The other sub-option calls for the full program description to be generated, following format identical to the one in Option One. Consideration needs to be given to the audience for the description and the uses to which both the current and future descriptions will be put. If the "future" description is the operative, long range plan for the program, the necessity will be great for it to be presented in complete form.

Option Five: Identify Obstacles, Questions, Resources, Intermediate Steps

The line manager (following analysis of planning information, such as the trends, implications and client needs, and specific program information) identifies potential obstacles in moving the program from the current to the future description, questions to which the manager will need answers and intermediate steps which can be taken to accomplish the task

Factors important to consider in this process include:

- Retrenchment/Contingency Planning: If the organization is in a retrenchment mode, as most educational organizations are at present, strategies will need to be considered which take this into account. For example, if there is little liklihood that a program will survive five years, it is pointless to be developing a five year plan.

- Alternatives: There is strong likelihood that alternative information and time lines will be necessary for different programs. Some of this is accomplished by providing line managers with planning options, such as the appropriate measureable factors. Other options may need to be defined by the administration. What information does it need in order to make decisions?

- Strategies: Reality needs to be considered. Even during times of retrenchment, some programs may grow while some are decreased more than others. A strategy which requires all programs to submit identical information implies that all will be dealt with in exactly the same manner, sets unrealistic expectations and may well require managers to provide useless information.

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* Snapshot: A model for the development of a long range *
* program description was developed by the Center for *
* Educational Planning of the Santa Clara County Office of *
* Education and is attached as Appendix 2. *
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ROUTE SIX--SETTING PRIORITIES

Perhaps in some future times, everything will be possible. There will be no need for this route. In these times of retrenchment, which results in reduction of both educational resources and services, this route must be seriously considered. The expected outcome will be a priority ranking of the services of the organization, based upon funding source. The options are presented for ranking external services, internal services or both.

Option One: Individual Ranking of External Services

In this option, the administrative review team, working individually, ranks each of the services provided by the organization to its clients. The individual rankings are compiled into one team ranking. See Appendix 3 for a model. Using the team ranking, the programs are prioritized within the various funding sources.

Snapshot: The Santa Clara County Administrative Council, acting as the review team, used a "Decision Board" to accomplish the priority distribution of programs by funding source. The "Decision Board" consisted of a large, 4 x 5 foot piece of plywood, divided into columns, with sufficient nails in each column on which to place nameplates for each program. The left column originally held a nameplate for each external program placed on the board in descending priority order, according to the Team ranking. The additional columnar headings identified the various funding options available. Using the consensus model described previously, the facilitator led the review team to consensus on the funding source for each program. When consensus was attained, the nameplate was moved to the appropriate column. Appendix 4 shows the results of the process.

Option Two: Team Ranking of External Services

This option accomplishes the same task as Option One, with one less step. Based in part upon the experience of the team, the individual ranking step can be eliminated, moving directly to the consensus model team ranking. As the first program is reviewed, the nameplate is placed upon the Decision Board. As second and succeeding programs are reviewed, the nameplate is inserted at the point indicated by the consensus as to its priority. The distribution across the board into priorities by funding source follows.

Option Three: Ranking of Internal Services

Internal services are defined as services which are required for the continued operation of the organization, such as maintenance, payroll, personnel, purchasing. These services present a different set of difficulties in any attempt at ranking. In actuality, it is impossible to eliminate some services, such as payroll, as long as the organization exists. There may, however, be alternative providers of some services, making them less essential to the continued operation of the organization. This option, however, only indirectly addresses the possibility of alternative levels of service if the extrapolation is made that the least essential services could be provided at a decreased level.

One process for internal service ranking is to identify services in broad bands of which are most essential to least essential to the operation of the organization.

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*  Snapshot:  The process used at the Santa Clara County    *
*  Office of Education requested the administrative review  *
*  team to identify, using colored marks, the three levels  *
*  of essential services, as depicted in Appendix 5.        *
*  Partly as a result of this activity one internal service *
*  program was discontinued and an alternative service      *
*  provider identified.                                     *
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Option Four: Ranking of Both Internal and External Programs

This option is really a combination of Options One and Two. There is often a desire within the organization to ensure that all units are considered equitably and that if a process is followed for one set of services at least a similar process should be followed for all. Otherwise the perception may be that certain programs are "exempt" from consideration, especially consideration for reduction. At least during the first attempt at such a prioritization, it may be advisable to follow this option and prioritize both external and internal programs. It may be that this is the only way to point up the differences between services provided to external clients and services provided to each other. It may also point to the need to develop a process for considering alternative levels of service.

Factors important to consider:

- Tools: During the first attempt at prioritization, tools such as shown in Appendices 3 and 5 may be useful. With continued experience, they may be unnecessary. The team may move directly into consensus prioritization, as in Option Two.
- Alternative Levels of Service: Ultimately the issue of alternative levels of service will need to be addressed, if retrenchment is necessary. Unless alternative levels of service are considered, the remaining option is simply to drop the programs, particularly the external ones, which fall to the bottom of the priority list.

ROUTE SEVEN--GOVERNING BOARD REVIEW

Operational and policy issues underlie, or are the framework within which decisions of the administrative review team are made. Policy issues need to be decided at the governing board level; operational issues at the administrative level, with the governing board kept informed. Although that is the classic pattern and division between policy and administration, board and administrators, in actuality, the division is rarely that clear cut. Careful consideration of the purposes of this route will lead to the correct choice of option for the organization. The purposes are to inform the board of the results of the administration review and analysis of planning information, to identify and provide information to the board on the policy issues so that the board exercises its perogative in deciding those issues, and to inform the board of the administrative decisions on operations. To these ends, alternate options may be used in presenting the planning information to the board and public, depending in part on any action required by the board. The process may include an informal review in study session, public hearings, or formal agendized action.

Option One: Board Study Session

In this option, the administrative review team, with the assistance of the planning staff, presents the full results of the review, program by program. This may include all of the decision options in Route Four, since the material is for the Board's information, not decision. The Board has previously received complete planning documentation on which the review was based, but no results of the review.

The Superintendent, as leader of the administrative team, requests the responsible administrator to review the program. The administrator may, as necessary, request the program line manager to participate.

This is an opportunity for the Board to receive information, ask questions and gain understanding or clarification of process as well as results. The study session, of course, is public as required by law. The report is not agendized for approval.

Snapshot: At the SCCOE, the responsible program administrator presented a "thumbnail" sketch of the planning information and the program while results of the administrative review were displayed on overhead transparencies. This was the Board's first look at the results. The review team responded to questions; on occasion, the decisions were modified based upon board perceptions.

Option Two: Public Hearing

The purpose of the Board public hearing is for the Board to hear public comments on the administrative review of the planning information. Comments and questions are likely to range from process to content to concern regarding decisions contemplated based upon the information. In theory, comments will be from individual members of the public, employee organizations, program advocate groups or other public agencies rather than internal management, since the process has provided options for working the planning information "up through the heirarchy."

Again, the report is not agendized for action.

Option Three: Report Agendized for Board Action

In this option, the results of the report which are appropriate for board action are officially agendized as such, background information and recommendations are provided by the administration and action may be taken. In the previous two options, all results of the administrative review have been presented to the Board. Following the map outlined at the beginning of this route, official board action is recommended on policy issues. If the administrative review contains results which include specific program operational directives for the ensuing year, it may be neither necessary nor advisable to have these officially approved by the Board. If on the other hand, the administrative review includes long range policy implications, these recommendations should be carried to the Board for approval. Separating the Board study sessions, public hearings and action sessions provides the opportunity on the one hand to ensure that the Board has complete background information and on the other hand to focus its attention to the appropriate policy issues after receiving public comment.

Factors which will be important to consider include:

- Level of experience/expertise: The familiarity of the Board, and its individual members, with the process and the anticipated outcomes will affect the type of presentation and the time it takes. Consideration may need to be given to Board in-service sessions on the planning process.

- Amount: Should the planning information be presented to the Board in one session, for an overall view, or should it be divided into smaller doses? The review and study sessions or public hearings may be on the total review, with organization-wide policy action items also agendized at one action session. However, throughout the year, as programs are reviewed, board action may be appropriate based upon the planning information.

- Role of Board: As indicated, careful consideration as to the appropriate role of the Board relative to the information and results of the review is the absolute key factor.

- Follow-up: The question also arises as to how to provide the Board with follow-up information either on the results of its specific decisions or on additional planning information.

ROUTE EIGHT--DECISION TO ACTION

The expected outcome of this route is the transfer of administrative and board decisions to action at the program level.

Option One: Transfer of Administrative Directives to Budget Objectives

In this option, the directives for programs for the ensuing year are translated into specific, measurable budget objectives and evaluation specifications. These objectives can be incorporated into the yearly budget document, which is adopted by the Board. However, this may not be viewed as appropriate for Board approval if the objectives are yearly operational planning statements rather than long range policy statements.

Option Two: Identification and Assignment of Tasks

Those directives not transferred directly into budget objectives are identified as tasks to be completed in some other manner. An analysis of the tasks includes their assignment to a particular person or unit, the resources available to complete the tasks and the expected outcome and time required.

Option Three: Full Tracking of Directives

This option incorporates Options One and Two into one process that tracks the disposition of each program directive, whether or not it is incorporated into the budget objectives. As shown in Appendix 6 a form provides for the statement of the Directive and its disposition. If it is translated directly into an objective, that is so noted. If it is either deleted or modified, a rationale is presented. This report can be forwarded with the budget information to the administrative review team and to the Board as appropriate.

Factors which will be important to consider:

- Need: If no method of tracking is devised, the liklihood that directives are not addressed increases significantly.

- Process: Using the budget document has the advantage of providing a permanent historical record of the directives, yet consideration should be given to whether the operational directives and objectives are appropriate for Board action and approval, or whether they are within the strictly administrative purvue.

ROUTE NINE--BUDGET/EVALUATION AND PLANNING ACTIVITIES

The expected outcome of this route is the synchronization of activities within the organization so that planning information, with its focus on long range, alternative future activities, is dropped into the yearly budget and evaluation cycle at appropriate intervals. The advantages to this route accrue both to the internal planning staff, which otherwise may be viewed as peripheral to the "real" world of budgets; and to the organization through the coordination of functions to achieve an integrated approach to decision making.

Option One: Tasks, Studies

In this option, the planning, budget and evaluation staff work together to determine the appropriate division of tasks or requests for information on the part of the administration. This option naturally follows the choice of Route Seven, Option Two.

Option Two: Master Calendar

The outcome of taking this option is the development of an integrated planning calendar which ensures that information will be provided to and from each of the units, as well as to the programs, administration and Board at appropriate times throughout the year. As stated earlier, the longer range, futures oriented planning information then can drop into the cyclical budget and staffing considerations as needed. The first master planning calendar for the Santa Clara County Office of Education is shown in Appendix 7.

Option Three: Coordination

In addition to the calendar, the option of regular meetings for the purpose of coordinating an approach to a process brings together the varied expertise of the three groups. Such a coordinated approach can be taken in the tracking of directives mentioned in Route Eight, Option Three as well as provide for the incorporation of evaluation results and budget information into the planning documentation.

Snapshot: At the SCCOE, staff involved in the three functions of budget, evaluation and planning formed an ad hoc working group, scheduling meetings as necessary to coordinate activities.

Snapshot: At the SCCOE, a mid-year evaluation of the previous year's directives was conducted and incorporated into the planning documentation.

Factors important to consider:

- Purpose of Ad hoc Group: The questions may arise as to who should be included in such a group. In such case, the purpose of the group should be examined. If the purpose is meeting staff responsibility for the function, participants should be limited to those carrying the responsibility. Peripheral advisory group communication should be accomplished through another process.

SUMMARY

The routes described in this chapter both culminate a series of planning activities and provide the direction for continuing activities. These bring the total organization into focus, hopefully in three-dimensional wide-screen technicolor with stereophonic sound. If long range or strategic planning is thought of as identification of the purposes of the organization, research and analysis of information for future program implications, with policies and operational strategies developed from that information, then the routes outlined above make the connecting link between the research and the development of strategies to meet the goals of the organization.

During earlier phases line managers, planning budget and evaluation staff, and administration have been involved separately in the activities of identifying trends, markets, purposes of the organization. This route ties all of the information together in decision making processes. If all of the various "travellers" are brought along the route, they will all share similar understandings and be using the same map for the future of the organization.

CHAPTER SIX--THE ADVENTURE CONTINUES

FOCUS: THE DESTINATION IS BUT A PAUSE IN THE CONTINUING JOURNEY

Has the "destination" been reached? What will it be like--this "destination." Where has this adventure in planning led the traveller? It's time to check the compass. And it's time to sort through the memorabilia collected along the way--to write the memoirs, display the artifacts. The perennial dilemma: What is to be done with it all and where do we go from here?

The data has been collected and analyzed; decisions and action plans have been made. There has been a reexamination of the reason for being, a return to the source--the purposes of the organization.

It is time now to evaluate what has happened, where the organization is, where planning is in the structure of the organization, and how planning information is presented. Is planning information useful and available to decision makers for the long range direction of the organization as well as at specific decision points, (budget deadlines, layoff notices)? Is planning an integral part of the management function for all programs?

In examining these issues, the planner may well look again at the philosophy and power of strategic planning, the hazards encountered along the way, and the benefits which have accrued. The planner may question whether the hazards been overcome; and the requirements for successful strategic planning been met.

The four parts of this final chapter review and expand upon some basic elements, and explore further the adaptation of the industry based model to education, successful change strategies, (particularly in times of retrenchment) and the role of the planner in the life of the organization.

REVISITING THE BASICS

DOCUMENTATION

The planner writes the memoirs. How the planning research data, decisions and action plans are presented can enhance or limit the understanding of both the process and the results. The planner describes the process, what has been found, its significance in terms of the organization, what has been decided and finally the impact of the decisions. These memoirs can literally provide an institutional history of the organization through the delineation of its purposes, goals, objectives and ultimately its accomplishments.

The criteria used to determine what should be included in the documentation and how the information should be packaged and presented must be: What will be most useful to decision makers, now and in the future.

Information can be forwarded as it is collected or it can be packaged periodically, once or twice a year, and transmitted to the appropriate users, either those making decisions or to those who need to be kept informed. Another option is to combine the two--forward information as it becomes available plus package the information yearly. The on-going information assists managers in keeping current with program planning activities. The yearly package becomes the "institutional history" as well as presenting the total picture of the organization at times when it is necessary for across-the-board analysis and decision making.

An enormous amount of data can be collected during the process of conducting surveys, analyzing legislation, researching trends and developing scenarios of the future. The dilemma: The data needs to be available, but to present it all becomes a case of information overload. To ameliorate this problem, information can be packaged in different ways to achieve different purposes. The original source documents, i.e., survey printouts, need to be preserved. From these, information should be selected to be included in source reports, and then summaries should be prepared which further encapsulate and format strategic information for decision making. See Appendix 1 Levels of Survey Findings

The Santa Clara County Office of Education Strategic Planning Environmental, Market and Evaluation Source Books display selected source documentation. The Strategic Planning Summary Report and Workbooks display summary results in "Storyboard" format, where information for one program is presented on one double page. The original source material is kept on file in the planning department. See Appendix 1 for a Storyboard.

Another way to document the journey is through a slide tape presentation, which portrays the purpose and process of strategic or long range planning for an educational agency. This type of presentation can provide further historical documentation to be used for training within the organization or in a seminar/conference setting for other organizations.

The 15 minute slide-tape presentation, Strategic Planning -- Educational Decision Making for an Uncertain Future, was developed by the Santa Clara County Office of Education and will continue to be useful for these purposes.

TRAINING

Throughout the Manual, assumptions are made about the level of understanding and expertise of the various participants regarding the planning process as well as the results. The planner may well need to recheck those assumptions and plan for training in areas where it is needed, whether by managers, administration or governing board members. Adequate training is essential for any change to succeed; that training can be accomplished in several ways.

The Superintendent can provide strong leadership both to staff and board by taking a direct part in training activities. The activities can emphasize the philosophy and purpose of long range planning, as well as specific processes, communication strategies and change models. The direct leadership of the Superintendent in itself models a problem solving and change process.

As managers participate in a specific planning model, the planning staff can provide program-specific consultive services in a workshop setting to assist in analysis of trends, development of program descriptions, etc.

As new members are elected to a governing board, or new managers/administrators join the organization, a review of the philosophy and process will be in order. The slide tape presentation mentioned above is useful for this purpose.

EVALUATION

Evaluation strategies have been incorporated into many of the options throughout this Manual, particularly through the activities of program evaluators, and intrinsic in the reviews by administration and Board.

The basis for evaluation may be goals established by the organization, specific yearly objectives with evaluation specifications defined for each objective or a general review of the activities compared with the mission or purpose of the program.

Various levels of formal and informal evaluation of program activities can be conducted on an annual or semi-annual basis. When an annual evaluation is timed to the budget year, evaluation of the prior year's objectives and setting of new objectives and evaluation specifications occurs prior to the adoption of the budget in late summer.

This may not coincide with the need for evaluation information during the early phases of the decision making activities described in Chapter Five. If that is the case, then a mid-year evaluation update may be desirable.

A mid-year evaluation of each of the strategic planning units was conducted at the Santa Clara County Office of Education. The evaluation, completed in January, provided information to the administration regarding the status of the year's directives as well as a progress report on current objectives. This information was incorporated into the strategic planning documentation and was an integral part of the material considered by the administrative review team when that team identified the long-term direction of the programs.

Based upon the type of program and the kinds of alternatives that are available to management, there is a choice between conducting an in-depth evaluation of a fewer number of programs, a standard evaluation of all programs, or a combination of the two. Consideration should be given to the options available to management regarding these programs. Whether regular evaluations are mandated by a funding agency, or local latitude is limited are factors to be considered in determining the time and need for evaluation information.

The organization can also choose between between having its own internal evaluation process, whether or not it is large enough to have full-time professional evaluation staff, and hiring external evaluators. There is an opinion that external evaluations are a luxury, given the current fiscal climate, unless they are necessary for political reasons.

The organization can also select a means for evaluating the planning process itself. For example, program managers within each major division of the organization evaluate the strengths and weaknesses of the process, the routes and the activities. This information can then be directed to the planning unit to be used in determining future planning activities.

Evaluation strategies must be feasible within the context of the organization and must provide useful information. The process for collection and presentation of data needs to match the resources and staff of the organization. The process also needs to provide information that is most useful in terms of timeliness, type, credibility, and presentation.

PARTICIPATION AND INFORMATION FLOW

Defining the appropriate type of participation by levels of staff throughout the data collection, analysis and decision making process is crucial. Who is involved and when, where information comes from and how it is transmitted are questions which can assume a considerable degree of significance. Careful thought needs to be given to this issue, particularly as it concerns perceptions of importance of the activity or influence of people involved.

Using the established, formal administrative heirarchy adds importance and credibility to transmittals. For example, messages coming from the Superintendent tend to receive more attention than messages directly from the planning staff! This formal information flow also keeps the decision makers involved in the process of developing information to meet their ultimate decision-making needs.

The need for clear lines of communication and clear responsibility for decisions is critical to the success of any change effort. For example, as information is gathered at the program level and transmitted to the administrative leadership there is interaction between the two; subsequently the leadership reviews and makes decisions and transmits the information to the Superintendent, who then carries responsibility for the decision to transmit the information to the governing board. In each case, the paper flow to provide "feedback" to program and administrative levels is necessary; equally essential is the clear line of authority--the organization cannot be speaking with many tongues.

Although the formal flow of information and a clear line of authority are essential, personal contact is also needed during the staff research and data collection/analysis phase. Personal, informal discussions often can achieve results quickly and forestall future problems by developing greater understanding of the process itself or of the information required.

ADAPTATION AND CHANGE

There are differences between educational organizations and industry. These differences make adaptation of the industry-based model essential if it is to be successful. What are some of the differences?

- Although not universally true, educational organizations tend to be composed largely of groups of independent professionals, many of whom are self-starters used to making decisions within their realm of pedagogical expertise.

- Educational organizations do not control the "natural resources" that flow into the system. There is a commitment to "serve" based upon need. The motto on the Statue of Liberty says: "Give me your tired, your poor, your hungry masses yearning to be free." It is the commitment of public education to serve these masses, as well as those more affluent. An intermediate unit has some latitude over and above that of districts, but the philosophy of providing services as they are needed prevails. A district cannot say it will provide service only to the bright child; intermediate units do not provide services only to the "bright" teacher, or business manager.

- Educational agencies operate under government mandates, and with governing boards which tend to change frequently. An intermediate education agency has more latitude in services it can or cannot provide, but still operates under mandates.

- State legislative limitations prevent education agencies from responding dynamically to market conditions. Local and intermediate education units have extremely limited ability to raise revenue or adjust price (tax) for service. The intermediate unit again has latitude over districts both in service and fees for service. For example, fees to districts for media services may be adjusted, or fees for instructional television.

- The silicon chip manufacturer, the auto executive and the insurance salesman use different terminology and jargon, as does the person in education. The planner needs to speak in the vernacular of the user of the planning services.

If one accepts the premise that the only certainty about the future is that it will be different, then long range or strategic planning is basically planning for change. Given the differences between education and industry, what are the critical elements for the change model of strategic planning to work in education? The choice of strategies to enhance planning for change will depend upon the planners' view of the organization, the philosophy of how change occurs and the balance of resources, time and budget.

HOW CHANGE OCCURS

Research indicates that successful change in education occurs when there is an adaptation of the process to the organization and the organization to the process.[1] Trying to fit a square peg into a round hole will not work! First then, the industry based model is adapted to education and secondly, the education model is adapted to the particular organization, with its unique combination of people and resources.

THE POLITICAL REALITY

Educational organizations are in truth political bodies; not just in terms of being governed by boards or federal and state laws, but in terms of decisions being made by people interested in the outcomes. As such, educational organizations are not "pure" or always rational, even though there may appear to be a rational, logical organizational structure.[2] Goals held by different individuals or groups within the organization may not be the same and may even be in conflict. It is evident, therefore, that change model strategies should be flexible and loosely coupled, with emphasis on a continuous, negotiative recycling throughout the process.[3]

LEADERSHIP PLUS

Successful change also depends upon the leadership within the organization exhibiting a consistent philosophy, not only of change, but toward the purpose and mission of the organization.[4] A consistent philosophy of leadership models personal and professional commitment to a course of action and acceptance of responsibility for action.

Other areas that contribute to the success of planning for change involve having a sufficient number, or critical mass, of staff involved in and committed to the process and the resultant actions. Involvement of only a few limits the ability to move the whole organization. Whether the plans appear to be central to the purposes of the organization is also critical to success. Plans can be viewed as "busywork" without this perception of centrality--that planning does make a difference to the future. Also implicit in the theory of adaptation is local definition and development of information and materials, suited to the unique needs of the organization and "owned" by those within it.[5]

TIME

All of the factors mentioned above take time to happen--time to assimilate ideas and concepts, time to develop local materials, time to train staff--it would be a lot faster to force-fit a pre-designed change model onto the organization. But time and patience buy acceptance and understanding. Success comes through the process. The process--like a journey to Oz through which the lion learns enough about himself to understand that he does have courage, the tin woodsman's actions prove that he has a heart and the scarecrow, by solving problems, knows he has a brain--helps us learn who and what we are and guides us toward our goals.

"THESE ARE TIMES TO TRY MEN'S SOULS"--RETRENCHMENT

There is an ebb and flow to organizational life, just as with an individual or a family. There are calm, tranquil times; turbulent and chaotic times; times of growth and times of retrenchment. Different things are possible at different times and different strategies must be used.

Planning for education in the 1980's presents a set of challenges different from planning in some earlier decades. American society is living through a period of retrenchment, reexamination of values and at least presently, severe limitations on resources for education. Successful long range planning will manage this retrenchment without losing sight of the need for plans for future regeneration or resurgence. Conversely, even during growth times, attention needs to be given to possible future retrenchment.

But the current challenge is planning for retrenchment, when frustration among staff and clients is rampant, when expectations must be lowered, and the burden falls heavily on local officials and decision makers. And there is no real alternative to decision making based upon judgement.

LEAST PAIN RETRENCHMENT

Russell Rhyne, a noted futurist, proposes that the challenge of decision makers is to choose a course of action soon enough that the organization suffers the "least pain."[6] For this to happen, decisions must be made early enough so that there are acceptable choices. And different strategies may need to be considered at different retrenchment phases. A strategy successful at one phase may be ill-conceived for the next phase, and even a good strategy can be carried to excess.

With sardonic humor, Rhyne identifies four strategies which have been used at various times and in varying degrees by many organizations:

- Wine and Roses: Buy whatever seems attractive and charge it. Proceed to plan and do what you want.
- The Waiting Game: It's just a bad dream that surely will go away pretty soon; fund the same programs as last year and skimp on most of the new ones.
- Squeeky-Wheel Maintenance: Locate the loudest screams, and cover those spots with bandaids.
- Optimize: Call in some scientific experts; they'll tell us what we ought to do.[7]

Each of these strategies may, at one time or another, have a degree of acceptability, depending upon the time and place of the organization in the retrenchment period. But they are no substitute for careful examination of alternative futures provided through strategic planning and do not supplant the need for judgment where alternative choices are fitted into the context of the organization.

THE ROLE OF THE PLANNER

What *is* the role of the staff planner and what is the place of the planner within the organization? Again there are alternatives, based upon philosophy and on the uniqueness of the organization.

PLACEMENT

Consideration needs to be given to the placement of the planning unit within the organization. The goal is to ensure that the results of planning are credible and viewed as being independent of bias.

- Planning staff needs to be seen as independent and free to ask the hard questions--questions that need to be raised, but for a variety of political reasons may not be raised at the line manager or program level.

- Planning needs to be placed so that motivation in asking questions is not attributed to perpetuating the interest of one or more sub-groups.

These goals are most usually accomplished by having the planning unit report directly to the chief administrative officer, rather than to a particular sub-division of the organization.[8]

ROLE

The planner's role may be viewed as one of researching key policy issues, with no involvement in strategies for decision-making. In this view, planning would be be protected from the political maelstrom.

On the other hand, the role of the planner may be seen as more proactive--not only collecting information but navigating or facilitating groups through the maelstrom to decision making for the future.

The real plans for an organization, in truth are made by those with decision-making authority rather than the planning staff. Depending upon the unique philosophy and characteristics of the organization, the "planning staff" can:

- Collect information;
- Develop alternative scenarios or choices;
- Train to increase understanding of the process and the resultant data;
- Provide facilitation in activities from data collection to decision-making;
- Initiate activities to focus attention on problems or areas where a problems appears to be looming in the future;
- Schedule meetings and activities throughout the process, timed to coincide with legal mandates where necessary;
- Cajole, coax, persuade, even nag staff to meet deadlines, schedule meetings, etc. to further the process.

In this proactive view, the planner serves as a change agent for the organization, developing a process, nurturing, facilitating, training, and initiating where necessary to focus effort. The planner is the conduit to move the organization from complacency to positive adaptation to change.

CHARACTERISTICS

Characteristics of the "planning staff" need to include technical expertise, vision, tenacity and even the ability to give away ownership of the process in which it has invested much of itself. The ideas and concepts must be ahead of the audience, yet not so far ahead that the audience is left in bewilderment. Change can take place only at the pace in which it can be absorbed by those within the organization, either at decision or implementation levels. But of all the qualities needed by the planning staff, patience and persistence may be the least often mentioned and one of the most essential. The more loosely structured the organization, the less direct the route to change and the more frustrating the role of the planner. Patience, persistence and a sense of the absurd are needed!

A WORD FROM THE AUTHOR

If you, as a professional educational planner, have made it this far in either the Manual or the planning adventure itself, you already have your eyes on the horizon, realizing that though this safari may be ending, it is really just beginning. Even as this is being written, new ideas are forming and new strategies are being tested; the vista ahead is limited only by vision and willingness to endure. Your adventure and your challenge will be to examine your organization, developing and adapting your own model to lead your unique organization through the plannning adventure.

It is the hope of the author that the ideas presented in this Manual will whet your appetite for the journey, as--

The tents are folded and packed;

the safari is about to begin.

NOTES

[1] Paul Berman and M. W. McLaughlin, *Federal Programs Supporting Educational Change, Vol. IV: The Findings in Review*, Washington, D.C.: U.S. Office of Education, (R1589/4 Dept. of HEW, 1975), p. 25.

[2] R. G. Bridge, et al., "Making Change Happen?", *Teachers College Record*, 77, No. 3 (February 1976), p. 314.

[3] Spencer H. Wyant and Warren E. Bell, *Diagnosing and Dealing with Barriers to Change in Schools*, (Santa Cruz: The Consulting Exchange, 1980), p. 20.

[4] Carol Jaslow and Helen Mamarchev, *Making Change Work for You*, (Ann Arbor: University of Michigan, 1977), p. 31.

[5] Berman and McLaughlin, p. 25.

[6] Russell Rhyne, *Choosing a Strategy for Least Pain Retrenchment*, (San Carlos: Patterns and Systems International, 1982), p. 1.

[7] Rhyne, p. 1.

[8] Darryl J. Ellis and Peter P. Pekar, Jr., *Planning for Nonplanners*, (New York: Amacom, 1980), p. 94.

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Glossary

Analysis of the Environment: An analysis of the external forces which impact the organization, for example, current economic, legislative, demographic conditions. The term is synonymous with environmental analysis.

Budget Objective: Specific, measurable achievements to be accomplished during the annual budget cycle and included in the organization Adopted Program Budget.

Client: Individual, group, agency or district either directly receiving service from the organization or contracting with the organization to provide service to individuals within their respective district or agency

Directive: Directions from the administration based on the results of the strategic planning documentation.

Evaluation: A method of testing the accomplishment of the objectives as well as the planning process.

Function: Identification of the basic tasks of units within the organization, regardless of the current organizational structure.

Funding Source: Source of funds for the operation of a program whether from external, independent or internal administrative and discretionary funds.

Manager, line or program: The individual responsible for managing the operation of a specific program.

Manual: The document Adventure in Planning--Roadmap to a Successful Journey, which provides alternative planning models and strategies. It is to be used as a reference guide to the development and implementation of a long-range, or strategic, planning process in an intermediate educational agency.

Market Analysis: An analysis of the demand or need for services which the organization can provide, or must provide when mandated.

Mission Statements: Clear, concise statements of the basic purposes of the organization which are used to provide guidelines for management decisions; the term also refers to sub-sets of mission statements for each program to fit within an umbrella statement for the organization.

Need/demand for Services: Synonymous with market analysis.

Planning Staff: The staff assigned the responsibility for developing a planning process and facilitating its use.

Planning, Budget and Evaluation: An informal operational unit within the organization which includes the functions of budget, evaluation and planning.

Program Description: A statement describing the configuration of the program within a given time period.

Strategic Planning Unit: A grouping of functions of the organization into one unit for planning purposes.

APPENDIX

FIGURE ONE

SCENARIO ELEMENTS

	RENAISSANCE	TROUBLED TIMES
ECONOMY		
National	Recovery in late 1982; Growth averaging over 3% per year; Inflation down to 5%	Recovery delayed to 1983; Growth averaging less than 2% per year; Inflation 8-12%
State	California much stronger; 4% real growth in income	California follows nation; 1% real growth in income
Local	County stronger	County follows State
REVENUE LEGISLATION	Modest improvement in Prop. 13 possible; No tax reduction measures are passed after 1982	A steady stream of tax cutting propositions are passed
REVENUES		
State	5% real growth	1% real growth post 1982
Local	6-7% real growth in property taxes Revenues reach Prop. 4 limits in many cities and school districts	About 3% real growth
EDUCATION APPROPRIATIONS		
Federal	Little real growth	Real decline
State and Local	12-15% more per pupil by 1987	Real decline per pupil

SCENARIO ELEMENTS (continued)

	RENAISSANCE	TROUBLED TIMES
EDUCATION LEGISLATION		
Federal	Some relaxing of P.L. 94-142; Major consolidation with new programs in science and math	Major relaxing; Major consolidation; No new programs
State	New support for science, math and voc. ed.	Little change
ENROLLMENTS	Slow decline in North County, but strong growth elsewhere	Slower overall growth
ETHNIC MIX	Strong growth in Hispanic and Asian students	Proportionate shift to Hispanic and Asian
PRIVATE SCHOOLS	Large potential shift to private schools	Large potential shift to Private schools
TECHNOLOGY	Dramatic growth in use of computers and other high tech products	High tech growth nearly as large, but opposed by many
OCCUPATIONAL TRENDS	High demand for all technical fields but decline in traditional occupations	Less occupational change
SOCIAL CHANGE	Some revival of family and community; No major new social conflicts; Increasing desire for global education	Continued disintegration of family and community; Demonstrations over peace, environment, language rights and global ethics
PUBLIC ATTITUDES TOWARD EDUCATION	Revival of strong support with desires for programs exceeding revenues	Formal education seen as irrelevant, older voters refuse support

SCENARIO ELEMENTS (continued)

	RENAISSANCE	TROUBLED TIMES
TEACHERS	Very high retirement and loss of best teachers in technical fields; Difficult recruiting in some fields; Improved morale	Adequate supply but more union militancy Declining morale
JUDICIAL	Courts increasingly withdraw from education	Court intervention increases, and court appointed masters run more systems
TEACHERS	Very high retirement and loss of best teachers in technical fields; Difficult recruiting in some fields; Improved morale	Adequate supply but more union militancy; Declining morale
ADMINISTRATORS	High retirement but good retention otherwise; Shortage of young administrators; High morale	High loss of best and youngest; Low morale

4.0 GENERAL IMPLICATIONS OF THE SCENARIOS

The most powerful implications of the scenarios are their similarities. The two scenarios are the result of careful analysis that included review with senior education analysis in Sacramento. While there was agreement that support for educational programs is likely to slow its recent decline, there was also agreement that roughly 12% more revenue per pupil was the best that could be expected by 1987. The key implications that are true across the scenarios are the following:

- Demands on public education are likely to increasingly exceed its resources. A total increment of 12% spread over five years could easily be absorbed by a single group such as special education, teachers or technology enthusiasts.

- The continued squeeze on State and Federal programs for education is likely regardless of near term political trends. The Federal government is essentially broke whether Democrats or Republicans are elected. Federal support for minor programs such as education will be lost in the conflict over Social Security, Defense, and economic policy. At the state level, the growth of the economy is far more important than whoever occupies the Governor's chair.

- A growing range of private, nonprofit and non-educational public agencies will offer educational services. These services will include arts, child care, science, music, computers, special education, vocational training and many others. Middle and higher income parents will be increasingly willing to buy such services.

- Public education will find itself in increasing competition with other organizations for talented teachers and administrators.

- The growth of non-public educational programs, the demands of parents for a wider range of services and the competition for talented people will be much stronger in Santa Clara county than elsewhere. Relatively prosperous and well educated parents can be both a blessing and a curse.

- The conflict between education of the general population and special services to special groups is likely to become increasingly bitter.

5.0 POLICY IMPLICATIONS

While much more detailed policy analysis remains to be done, some general policy concepts are already apparent.

-- The key to improving the public education system in the future will be focussing resources on core programs. Trying to save everything will save nothing.

-- The key long run administrative issue will be planning how to recruit and retain top quality, younger, teachers and administrators. The educational leaders of the future are being lost today.

-- Financial planning must focus on long term improvements as well as short term survival.

-- Non-public educational programs are an opportunity as well as a threat. County parents are largely willing and able to pay for special services. Helping organize such external programs (with aid provisions for low income parents) could reduce pressures on the public system, increase resources for core programs, and provide additional income to public school teachers.

-- Imaginative new institutional, financial and administrative arrangements will be part of virtually any successful new educational policies.

-- Closer coordination of public programs will be more important than ever. There will be a continuing reshuffling of programs, roles and responsibilities that will affect many students.

DATELINE -- JANUARY 1988

Happy New Year! This is the time of year when journalists traditionally offer their readers lists -- the ten best or worst movies of the past year, the most admired Americans, the most important newsmakers. Even education editors are not immune to this journalistic vice. My personal list covers what I consider the most important education-related headlines and articles that appeared in our local newspapers in 1987. These headlines and articles were not necessarily the most dramatic or sensational, but they highlighted an influence or trend that significantly affected or involved education in 1987, and that will continue to do so in 1988.

Forthwith and without further ado, my list, not in any particular order, along with my reasons for choosing each headline and accompanying article.

Sunnyvale Firm Retrains Its Employees--College Credits Earned

Workers Praise Company and School System

This headline referred to a training project funded by federal money provided through the Job Training and Partnership Act of 1982 and supported by the . private capital of an office machine repair company located in Sunnyvale.

Faced with a declining demand for repairs to typewriters, calculators, and other non-computerized office machines, the ABC Office Machine Repair Company saw its business disappearing. And yet the company's president, Stu Manning, perceived a growing demand for repairs to small computers and word processors not covered by manufacturer's service contracts. How to solve the problem? Lay off his present workers and hire mechanics trained in the new technology?

Even if this had been a viable solution (and it wasn't, as computer mechanics are in short supply in our area), Mr. Manning was concerned about his employees and their families. He cared enough to investigate the possibility of retraining his present employees to handle the changing nature of office machine repair.

The article that accompanied the headline enumerated the various difficulties this company president encountered in his investigation. For example, he had to cope with the distrust that unfortunately continues to characterize many of the relationships between education, business, and the federal government. And the educational and governmental red tape he uncovered would have been enough to discourage anyone. Fortunately however, Mr. Manning was a fighter, and his attendance at the "1986 Partners in Technology" Conference in San Diego had helped him gain an insight into ways that private industry and educators can cooperate to teach Americans the new skills they require. The Conference also provided him with information on possible funding sources for retraining projects.

If any one of the difficulties Mr. Manning encountered had not been overcome, his retraining project might never have been more than a good idea. However, despite problems, his efforts resulted in a federally funded training program at one of our community colleges, and the employees of ABC Office Machine Repair were retrained to meet the demands of their changing job while working part-time and receiving full-time pay. The project cost the company money in terms of lost work hours and textbooks, but Stu Manning feels it was money well spent. And now that his employees are retrained and working full-time again, he may be able to recover some of his expenditures through a state grant program started in 1983.

This story highlights a major problem in our area and one way of solving it, even if in a small way. For the last five years we have seen increasing numbers of unemployed workers in Santa Clara County, usually the ones with the least technical skills. While California has begun to recover from the devastating recession of the early and mid-80's, unemployment due to the changing nature of the job market is still a big factor in the moderate rate of recovery in our area.

Available jobs are concentrated in the fast growing service sector and high-technology industries, especially the computer field. The massive job of retraining workers for those jobs is intimidating and costly, but when the government, private enterprise (even small firms like the one in Sunnyvale) and public education team up in cooperative efforts, it can be done.

There are now several such cooperative efforts in the Santa Clara Valley, but most of them involve the larger industries, those with substantial amounts of capital to devote to training projects. The training projects of the Fairpath Aircraft Company, for example, have been well documented by the media. I chose this headline and article because it not only indicated a creative way of solving the retraining problem, but it showed that the trend toward retraining, rather than laying off employees, has finally filtered down to our smaller business operations. "Workers praise company and school system," said the headline. So do I!

Taming Teacher Attrition--Johnny's Teacher May Also Be His Parent's Co-worker

This headline caught my attention this last year because it underscored an innovative approach to handling the attrition of teachers from our local schools.

Back in the early 80's experts predicted that one result of the funding problems afflicting public education would be a shortage of qualified teachers later in the decade. These experts cited several factors: the age of most tenured teachers and their anticipated retirement; the fact that recruitment of younger teachers had been virtually halted due to money shortages; and most significantly, the fact that talented teachers, especially those skilled in math and science, were being lured into better paying industrial jobs. Unlike some predictions, this forecast about teacher attrition proved to be only too true, and was a continuing trend until recently.

The article accompanying the headline described how concerned business representatives, educators, and parents in our area prevailed upon both industry and the schools in early 1987 to share their human resources for mutual benefit. Under cooperative arrangements between public schools and the private sector, many sponsored by the county chapter of the California Business Roundtable, various options were made available to help stem the drain of qualified teachers from our schools and to provide supplementary teaching support as well.

For example, a well qualified but underpaid high school math or science teacher may now choose to work part-time in his teaching job and part-time in a better paying job in industry. The arrangement is supported by both the school system and the company. The high school recognizes the teacher's need to upgrade his income; the firm recognizes that his teaching skills will help upgrade the skills of students entering the job market. Or a well paid company executive may now obtain release time from her company to teach business administration classes in a community college.

As the headline indicated, this innovative approach has only tamed teacher attrition in 1987, not solved the problem. And there are other factors helping to keep teachers in the schools, too. According to a recent Harris poll, the average Californian's attitude toward education improved during the 1986 elections when many educational issues were clarified for the public. As a result, the teaching profession is now perceived in a better light. The modified differential salary levels endorsed by the California Teachers Association in early 1987 are now being negotiated into expiring teacher contracts, and some of our local school districts have already been affected. There are even creative ways of offering our teachers affordable housing, such as the "teacherage" plans which provide for the conversion of closed schools into faculty apartments.

To be sure, the options described in the article are not without their problems. Some educators and business representatives fear that the new cooperative arrangements could place controls on curriculum or job hiring practices. Tensions have arisen between teachers who will be offered differential pay increases in their contracts and those in fields such as English and social studies who may not be offered these adjustments.

While teacher attrition may have been tamed, these problems will still be with us in 1988, I'm afraid. Although now a co-worker in industry, Johnny's teacher will have to cope with the mistrust felt by some of our business representatives and educators. And within the educational community itself, the morale problems we're witnessing will continue to test the dedication of even our most committed teachers.

The Reformation That Never Happened: An Update on Teacher Competency, Graduation Requirements, and Curriculum Standards

The reformation alluded to in this 1987 headline concerned a movement that began to gather momentum in 1982-83. For years we had heard opinions from various segments of the public regarding the need to improve public education through tougher standards in teacher hiring and dismissal, graduation requirements, and curriculum, but it wasn't until '82-'83 that a movement as such could really be discerned.

What was interpreted by some as a voter referendum in the elections of 1982 gave impetus to the movement, and soon we began to read about studies calling for a return to state-mandated high school graduation standards and more demanding classes. Recommendations were sent to the California Legislature calling for simplified procedures for teacher dismissal (including the release of probationary teachers) and proposing that model graduation requirements and curriculum standards be developed. Coalitions were formed; the State Department of Education, the state PTA, the California Teachers Association, and the California School Boards Association all debated the issues; and the State Superintendent of Public Instruction proposed to the Legislature a bill which would require a "core curriculum" for all students. The reformation movement was well under way by mid-1983.

The article accompanying the headline reviewed this past history and then went on to describe the controversies over these issues which continue to be debated to this day. While it's difficult to simplify all of the arguments and counter-arguments, the fundamental disagreement seems not to lie with the need for tougher standards, but rather to center around whether these tougher standards should be required by legislative mandate or simply recommended to local school districts and left to them to enforce. Both sides seem to have strong proponents for their views, so while several bills have been introduced to the Legislature, all legislative measures have been stalemated so far. Many legislators are understandably leery of more educational mandates in light of the various lawsuits over funding mandated costs that have been in the courts since 1982. The author of the article therefore concluded that the reformation has "never happened," and that the reform movement has consequently been defeated by these ongoing controversies.

But is this really true? This headline and article are important, I believe, because they sum up what is often a popular misconception concerning the way that change occurs. Change is not always the result of either "official recommendations" or "legislative mandates" -- it can occur subtly, sometimes almost imperceptibly, as an outgrowth of a well publicized debate such as this one. Surely the recent rises in our students' scores on SAT tests (now up from the 1982 low of 27th in the nation to 19th in the nation) can be attributed, at least in part, to California's increased awareness of the need for higher instructional quality and better student performance.

In 1988 we should be alert to other developments in education that might substantiate this hypothesis. The reformation that never happened may in fact be happening right under our noses.

DISTRICT SUPERINTENDENT'S SURVEY

TOPICS

FALL 1982

1.0 OVERALL DISTRICT OPERATIONS

2.0 CHANGES IN STUDENT POPULATION

3.0 CHANGES IN PARENTS/COMMUNITY

4.0 DISTRICT GOVERNANCE AND RELATED ISSUES

5.0 DISTRICT PERSONNEL

6.0 INSTRUCTIONAL SERVICES--DIRECT AND SUPPORT

7.0 SPECIAL EDUCATION

8.0 ADMINISTRATIVE SUPPORT SERVICES

DISTRICT SUPERINTENDENT'S SURVEY

****

RESPONDENT'S NAME: ______________________________

DISTRICT: ______________________________

DATE: __________ DISTRICT TYPE ____ DISTRICT SIZE ____

1.0 OVERALL DISTRICT OPERATIONS

1.1 What will be the greatest societal trend affecting public education during the next five years?

(PROBE: What effect will it have?)

____

____

____

1.2 What should the function of education be?

____

____

____

1.3 What is the most important or outstanding instructional innovation taking place in your district currently?

(PROBE: What, if any, innovations are in the planning stages?)

____

____

____

1.4 Specifically, over the next five years:

a. Will your district's instructional day:

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

b. Will graduation requirements:

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

c. Will allocations for remediation programs:

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

d. Will allocations for gifted students:

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

1.5 If you were to suddenly learn that, in the next fiscal year, your district's general fund would be increased by twenty-five percent, what top three immediate goals would you set for your district?

____

____

____

2.0 CHANGES IN STUDENT POPULATION

2.1 Over the next five years, describe the changes you foresee in your district's student population.

a. Numbers in Overall Enrollments

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

(PROBE: Specify changes in different age groups/grade levels. What steps will your district need to take to respond to these changes?)

COMMENTS: ______________________________

____

____

b. Race/Ethnic Minority Students

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

(PROBE: Specify changes in different minority groups. What steps will your district need to take to respond to these changes?)

COMMENTS: ______________________________

____

____

c. Special Education Students

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

(PROBE: Specify changes in handicapping conditions. What steps will your district need to take to respond to these changes?)

COMMENTS: ______________________________

____

____

d. Bilingual Students

___ Decrease ___ Remain About Same ___ Increase ___ DK/NA

(PROBE: Specify changes in groups of bilingual students. What steps will your district need to take to respond to these changes?)

COMMENTS: ______________________________

____

____

3.0 CHANGES IN PARENTS/COMMUNITY

3.1 Over the next five years, describe the changes you foresee in parents and community with respect to the following qualities/characteristics

a. Level of parental/community involvement

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

(PROBE: What factors/indicators do you use to measure parental and community involvement? Attempt to make distinction between interest in issues versus willingness to commit time to classroom or committee work.)

COMMENTS: ______________________________

____

____

b. Support for Public Education

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

(PROBE: What factors/indicators do you use to measure parental and community support? Also, will there be a difference in support between community parents and community non-parents?)

COMMENTS: ______________________________

____

____

c. Overall Expectations Parents have of District

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

____

3.2 What do parents tell you they want most from schools for their children?

____

____

____

4.0 DISTRICT GOVERNANCE AND RELATED ISSUES

4.1 Over the next five years, what major changes, if any, do you foresee in the way your district is governed?

____

____

____

4.2 Over the next five years will state control of local education agencies:

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

COMMENTS: ________________________________

____

____

4.3 With respect to administrative rather than policy matters, will your board's involvement:

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

COMMENTS: ________________________________

____

____

4.4 Over the next five years, will the number of PAC's in your district or the amount of organized parent involvement in decision-making:

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

(PROBE: Will federal de-regulation reduce the overall numbers of advisory groups in district?)

COMMENTS: ________________________________

____

____

5.C DISTRICT PERSONNEL

5.1 Over the next five years, will the ability of your district to hire qualified certificated personnel:

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

(PROBE: Distinguish between problems of financial ability and problems of a shrinking pool of qualified candidates; what areas [e.g. math/science, etc.] will be the hardest hit?)

COMMENTS: ______________________________

____

____

5.2 Over the next five years, will the ability of your district to hire qualified classified personnel:

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

(PROBE: Distinguish between problems of financial ability and problems of a shrinking pool of qualified candidates; what areas [instructional aides, professionals, dp personnel] will be the hardest hit?)

COMMENTS: ______________________________

____

____

5.3 If you foresee difficulties in securing the services of qualified employees in the next five years, what, if any, steps will your district take to mitigate the problem?

____

____

____

5.4 Over the next five years, will labor relations in your district:

___ Improve ___ Remain Same ___ Worsen ___ DK/NA

(PROBE: What implications will these changes have? Will changes hinder or hamper efforts to improve the quality of personnel [e.g. questions of tenure, differentiated staffing]?.

____

____

____

5.5 Over the next five years, will bargaining unit involvement in your district's decision-making:

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

____

6.0 INSTRUCTIONAL SERVICES--DIRECT AND SUPPORT

6.1 Describe changes, if any, you foresee in your district's level of demand/need for the following COE services over the next five years and explain the key reasons for the changes:

a. Staff Development

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

____

b. Curriculum Development

___ Decrease ___ Remain Same ___ Increase ___ DK/NA

COMMENTS: ______________________________

____

____

Chap. 4 App. 4

PLEASE POST

FORUM:

THE FUTURE OF OUR SCHOOLS

A LOOK AT 1987

How will education in Santa Clara County change by 1987? The Santa Clara County Office of Education is planning its future and seeking information from experts who respond to two views of 1987. Factors to be considered include economics, legislation, revenue, demographics and other social and political issues that affect public education.

The forum features *WILLIS HARMON,* noted futurist and author, who presents a broad perspective of world events focusing on cultural and social change.

We cordially invite a *TEAM* from your district to attend this important activity. (Superintendents, Assistant Superintendents, Board Members, Personnel Officers, Directors of Curriculum and Parents are welcome participants.) Limited seating available.

SCHEDULE OF EVENTS

8:30 am to 10:15	***General Session*** Glenn Hoffmann will open the forum by explaining the process of strategic planning and futuring activity at COE. *Willis Harmon,* noted futurist and author, will present a broad perspective of world events focusing on cultural and social change. *Richard Carlson,* economist and futurist from Stanford Research Institute, will introduce two views of the future of public education in Santa Clara County.
10:30 to 11:45	***Child Care*** How will changes in family structure, workforce and funding priorities shape the future of child care programs? or ***Vocational/Career Education*** What will tomorrow's workers need to know and who will teach them?
11:45	***Lunch on your own***
1:15 pm to 2:45	***Labor Relations*** How will labor and management meet the challenges of the dwindling resources and expanding public expectations at the state and local level? or ***Classroom Technology*** How will explosive advances in technology affect students and the way they learn?
3:00 to 4:30	***Personnel Resources and Development*** As education's work force grows older, how will staffing needs be met? What might staff development look like in 1987? or ***Support Technology*** What will information handling techniques be in 1987? How will office and school management be affected by this new technology?

Date: February 23, 1982
Time: 8:30 am to 4:30 pm

Place: County Office of Education
Conference Center
100 Skyport Drive
San Jose, CA 95115

Registration:

No pre-registration required, first come, first served. No registration fee. Lunch is on your own.

For more information, call Douglas Beckstein at the Center for Educational Planning, (408) 947-6877.

Produced by Santa Clara County Office of Education, Glenn W. Hoffmann, Superintendent, 100 Skyport Drive, San Jose, CA 95115 (408) 947-6868
Distribution: Superintendents, Assistant Superintendents, Board Members in Santa Clara County and neighboring county education offices. 1,000 copies, 2/82, DB/mr (596)

EXTERNAL TRENDS

Dominant External Trends

The discussion centered on two trends which are likely to dominate the coming decade:

1. the explosive growth of new information and communication technologies which will change the economy, education and other institutions. The 1980's will see mass use of these new technologies.
2. An internationalization of society where internal migration, competition, trade and military conflict will increasingly affect the life of the average American.

EDUCATIONAL TRENDS

The discussion of educational trends centered on three broad trends:

1. Technology is changing both what needs to be taught and how it should be taught.
2. Educational roles are being decentralized to a wider range of institutions ranging from the home to private schools. Lack of access to home computer systems could expand the academic gap between rich and poor.
3. An economic gap is opening between those with academic skills (particularly technical) and those without. This educational problem could add to racial and ethnic conflict.

These general trends are leading to a whole series of curricular, organizational, political, staff and special education trends.

Curriculum Trends

1. New computer skills need to be taught.
2. Computers may be helpful in teaching other skills.
3. New immigrants will need more help in their own languages.
4. Schools need to be sensitive to a broader range of cultures.
5. Fast technical change requires more emphasis on core thinking, learning and communicating skills.
6. Technical knowledge will be needed by more of the workforce.
7. Humane teaching will be more important than ever.
8. Social studies will still be important.

August 16, 1982

Dear:

Earlier this year, you participated in an interview with the Strategic Planning Team from our office. The team was collecting data for an analysis of the environment affecting public education today. In appreciation for your participation, we are enclosing copies of the Strategic Planning 1982-83 Environmental Analysis Source Book and Summary Report.

The Source Book contains two future "scenarios," comments on alternate future possibilities and summarizations of interviews conducted during the environmental analysis.

Based on the data obtained, trend statements were formulated for each major program area of our office. These trend statements, along with key planning assumptions, form a major part of the Summary Report.

The Team feels that the material collected during the first year of strategic planning has provided a valuable data base. However, since this is an on-going planning effort, some areas may require re-examination to update and/or validate the findings. Additional areas may need to be addressed.

Therefore, as we begin the next planning cycle, we are asking you to share with us your reflections on the process, its results, and what you see in the future.

We need your comments! Please return the enclosed questionnaire in the envelope provided by September 15, 1982. Thank you.

Very truly yours,

Terry McHenry, Asst. Superintendent
Business Administration Division

Enclosures

SANTA CLARA COUNTY OFFICE OF EDUCATION

MEMORANDUM

TO: Ed Aguirre, Dorothy Burns, Bill Gainer

FROM: Terry McHenry, Assistant Superintendent
Business Administration Division

DATE: September 20, 1982

SUBJECT: Environmental Trend Update for Strategic Planning

* *

Copies of the Strategic Plan Fiscal 1983 have been distributed to all MCS Team members; and division level meetings are being scheduled to review the Plan.

Part of the process for updating the Plan is to review the Environmental Trend Statements to determine whether the current information is valid, where additional information is needed, and potential sources of new information. Please have your program managers review the Environmental Analysis Trend Statements and Assumptions, comment as to their accuracy/validity and make any suggestions for further exploration. This, the second in a series of requests for information from program managers, provides additional opportunity for managers to directly participate in the strategic planning effort.

You may wish to have the comments routed through your office for review prior to transmitting them to CEP. Please have the comments, or a note indicating concurrence with the statements, returned to CEP by October 4.

Note: You may wish to have your managers mark November 29 on their calendars--the date of the public forum on trends and issues in public education.

cc: Dave LeCompte

Mission Statements

ROPs. To cooperate with local school districts, community colleges, and industry to provide regional programs which offer entry-level job training, groundwork for advanced training or education, or retraining in a variety of skills which interest students and meet labor market needs. The clients are high school juniors and seniors, out-of-school youth, and adults.

Technical School at the Center for Employment Training. To provide basic skills training for 16-18 year old high school dropouts who are enrolled in CETA vocational training programs at the San Jose Center for Employment Training.

Career/Vocational Education and Guidance. To provide leadership and coordination to school districts, community colleges, agencies, industry and other public and private organizations concerned with career/vocational education and guidance, and to oversee the operation of the ROPs, Technical School (see individual mission statements for these programs), and YETP.

Environmental Analysis Trend Statements and Assumptions

The following trend statements and assumptions were prepared from source material which is documented in the Environmental Analysis Source Book under these headings: "General Futures," "Personnel Resources," "School Finance," and "Vocational Education."

1. High technology industries in Santa Clara County will continue to experience a dramatic shortage in technical personnel.

2. Industry's shortage of personnel and the consequent increasing demand on public education for people with basic reading and math skills and even some computer literacy, may result in new cooperative efforts between the public and private sector.

3. There will be a trend toward increasing work experience arrangements between education and industry.

4. As technological change continues to accelerate, private technical schools and industry itself will offer more specific technical training, and public schools may offer less.

5. There will be increasing awareness at leadership levels, both in business and industry, that public education needs greater financial, philosophical and political support.

6. The desire of business leaders for an infusion of work ethic into school curriculum is increasing.

MARKET ANALYSIS SUMMARY RESULTS

Market analysis results pertaining to VOCATIONAL/CAREER EDUCATION are briefly summarized below. The survey was conducted over the telephone with a total of 31 respondents: 20 school district representatives, 8 business and industry representative and 3 agency representatives. The telephone survey was done as a follow-up to a pencil and paper survey conducted by the Office's World of Work Task Group. A summary of that survey has been included in the MARKET ANALYSIS SOURCE BOOK.

Using a scale of 1 (low) to 5 (high), respondents to the telephone survey were asked to estimate future levels of demand for each of several services pertaining to vocational education. Mean levels of demand are presented in the columns below. For a more complete review of the findings, see the MARKET ANALYSIS SOURCE BOOK--Vocational/Career Education Market Survey.

	Mean Levels of Demand		
Services	Overall	District	Non-District
COORDINATION SERVICES	3.18	3.28	3.00
Information Exchange	3.21	3.11	3.44
Interagency Coordination	2.96	2.95	3.00
DIRECT SERVICE TO STUDENTS	3.09	3.13	3.00
Operating County ROP's	3.21	3.35	2.86
Providing On-the-Job Training	2.67	2.76	2.43
INFORMATION GATHERING/DISSEMINATION	3.19	3.28	3.00
Labor Market Information	3.48	3.68	3.00
Training Program Information	3.43	3.50	3.30
Curriculum/Resource Information	2.89	3.17	2.33
LINKAGES WITH BUSINESS AND INDUSTRY	3.17	3.39	2.40
Interagency Coordination	3.32	3.65	2.63
Providing Technical Expertise	3.31	3.56	2.75
Expanding Use of Resources	3.15	3.39	2.63
CURRICULUM DEVELOPMENT ASSISTANCE	2.60	2.58	2.67
STAFF DEVELOPMENT	2.77	3.00	2.14
Serving Special Need Students	2.96	3.00	2.83
Updating Instructor Skills/Expertise	2.79	2.94	2.33
ASSISTANCE IN SEEKING FUNDS	3.48	3.74	2.67
Coordinated/Mutual Grant Seeking	3.31	3.72	2.38
Exploring Funding Alternatives	3.37	3.79	2.38
Developing Business/Industry Funding	3.96	4.26	3.14
PROGRAM EVALUATION ASSISTANCE	2.32	2.39	2.14
PROMOTION AND PUBLICIZING	3.12	3.05	3.29
DEVELOPING LEGISLATIVE SUPPORT	3.81	4.11	3.00

SANTA CLARA COUNTY OFFICE OF EDUCATION

MEMORANDUM

TO: Ed Aguirre, Dorothy Burns, Bill Gainor, Terry McHenry, Marilyn Carson

FROM: Les Hunt, Director L
Center for Educational Planning

DATE: July 18, 1983

SUBJECT: Program Description Flowchart, Calendar and Format

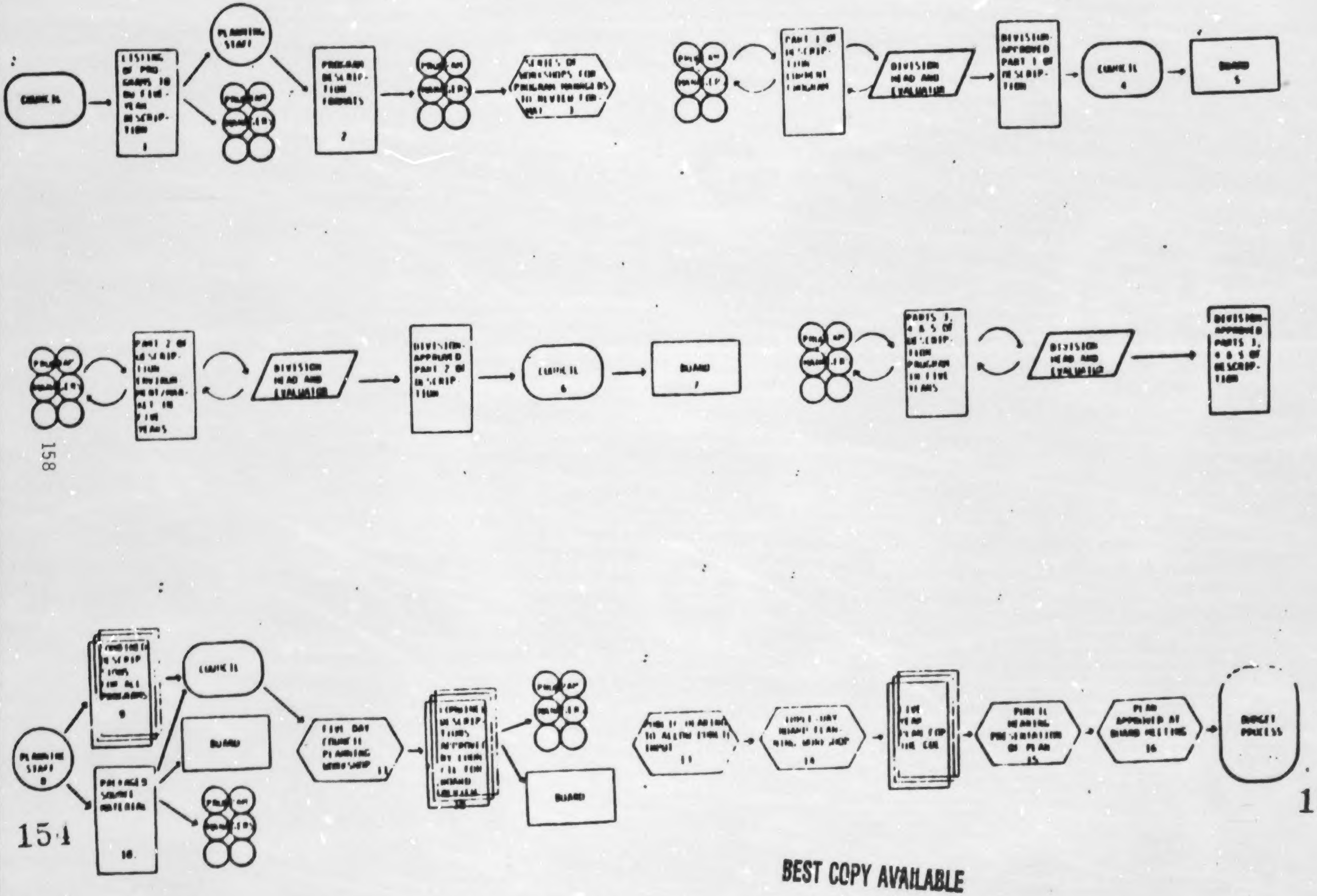
* *

Attached is a copy of the draft flowchart, calendar and five-year program description format for consideration by program managers within your division. As arranged, the planning staff will discuss these documents with program managers at your cabinet meeting this week.

Suggestions for revision to the attached documents will need to be transmitted back to you as division head no later than Auguest 1, 1983.

cc: Program managers

STRATEGIC PLANNING FLOW OF ACTIVITIES


COUNCIL
LISTING OF PROGRAMS TO BE FIVE-YEAR DESCRIPTION 1
PLANNING STAFF
PROGRAM MANAGERS
PROGRAM DESCRIPTION FORMATS 2
PROGRAM MANAGERS
SERIES OF WORKSHOPS FOR PROGRAM MANAGERS TO REVIEW FORMAT 3
PROGRAM MANAGERS
PART 1 OF DESCRIPTION CURRENT PROGRAM
DIVISION HEAD AND EVALUATOR
DIVISION-APPROVED PART 1 OF DESCRIPTION
COUNCIL 4
BOARD 5
PROGRAM MANAGERS
PART 2 OF DESCRIPTION ENVIRONMENT/MARKET IN FIVE YEARS
DIVISION HEAD AND EVALUATOR
DIVISION-APPROVED PART 2 OF DESCRIPTION
COUNCIL 6
BOARD 7
PROGRAM MANAGERS
PARTS 3, 4 & 5 OF DESCRIPTION PROGRAM IN FIVE YEARS
DIVISION HEAD AND EVALUATOR
DIVISION-APPROVED PARTS 3, 4 & 5 OF DESCRIPTION
PLANNING STAFF 8
COMBINED DESCRIPTIONS FOR ALL PROGRAMS 9
PACKAGED SOURCE MATERIAL 10.
COUNCIL
BOARD
PROGRAM MANAGERS
FIVE DAY COUNCIL PLANNING WORKSHOP 11
COMBINED DESCRIPTIONS APPROVED BY COUNCIL FOR BOARD REVIEW 12
PROGRAM MANAGERS
BOARD
PUBLIC HEARING TO ALLOW PUBLIC INPUT 13
THREE-DAY BOARD PLANNING WORKSHOP 14
FIVE YEAR PLAN FOR THE COL
PUBLIC HEARING PRESENTATION OF PLAN 15
PLAN APPROVED AT BOARD MEETING 16
BUDGET PROCESS

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1983-84 STRATEGIC PLANNING TIME TABLE

	AUGUST				SEPTEMBER				OCTOBER				NOVEMBER				DECEMBER				JANUARY				FEBRUARY			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1. Council designates programs which will complete 5-Year Program Descriptions	X																											
2. 5-Year Program Description format sent to program managers		X																										
3. Workshops/consultations with program managers by evaluators/budget officer/planning staff		X	-	-	-	-	-	-	-	-	-	-	-	-	X													
4. Part I--Current Program is developed by program manager, approved by Division, and sent to Council		X	-	-	-	-	-	-	X																			
5. Part I sent to Board										X																		
6. Part II--Environment/Market is developed by program manager, approved by Division, and sent to Council		X	-	-	-	-	-	-	-	-	-	-	X															
7. Part II sent to Board														X														
8. Parts II/III/IV--5-Year Description is developed by program manager, approved by Division, and sent to planning staff for packaging		X	-	-	-	-	-	-	-	-	-	-	-	-	X													
9. Combined Descriptions and Planning Source Book sent to Council																	X											
10. Planning Source Book sent to Board and managers																	X											
11. Five-day Council planning workshop (attended by program managers) Week of December 12																		X										
12. Council-approved Descriptions sent to Board and program managers																				X								
13. First public hearing																						X						
14. Three-day Board planning workshop																						X						
15. Second public hearing																								X				
16. 5-Year Descriptions for all programs of COE considered for action by Board																									X			

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LONG RANGE PROGRAM PLANNING WORKSHEET
PROGRAM DESCRIPTIONS

In April, the Board of Education reviewed and modified preliminary, skeletal descriptions of programs of the Office as the programs may appear in 1987-88. These broad, tentative descriptions were developed by the Superintendent and his Council based, in part, upon planning and budget information available at that time. In January, 1984, the Board expects to receive more complete descriptions of each program, covering the years 1984 to 1989. These descriptions, highlighting the major features of each program, are the first step in the development of an overall five year plan for the Office. The expertise represented by the views of program managers will provide information on the functions, priorities, alternative service options, and resources that must be a part of these long-range program descriptions.

It is with this step in mind, then, that this first draft to the long range program description has been prepared. A common format such as is presented here has several major advantages: first, it organizes a sizeable amount of information into manageable groupings. This is especially important in light of the fact that the Council and the Board will be reviewing well over thirty program descriptions and supporting documentation. Second, the format delineates specific components and data elements that can be compared and contrasted, program to program. Third, current and anticipated future functions and features of programs will be described by the manager closest to the program; and fourth, the unique elements of each program will surface, together with elements common among several programs. These are essential features in a process that ultimately will lead to comparison and prioritization of the functions of the Office based upon anticipated level of resources.

The format recognizes that programs are not "standard;" that they differ widely with respect to types of service, clients served, size of budget, staffing requirements, etc. The program manager is provided with options in defining the type of services currently provided, with per cent of resources allocated to each service before projecting the service levels into the future.

The format, which is attached, include the current mission statement for your program, the program description as it appears in the Budget document, the 1987-88 "skeleton" description as well as current and projected funding information.

Two sample completed program descriptions have been attached for use as a model. Questions of clarification should be directed to your divisional evaluator, your division head or the planning staff.

****

PART ONE--THE CURRENT PROGRAM

A. 1983-84 MISSION STATEMENTS

(Listed as reviewed by the Board of Education.)

B. 1983-84 PROGRAM DESCRIPTION

(Listed as it appears in Consolidated Budget)

C. CURRENT REVENUE AMOUNT AND SOURCES

Include projection of contract revenues where applicable.

D. FUNCTIONS/SERVICES AND LEVEL OF EFFORT

For each major function/service currently offered by your program, address the following elements:

1. Categorize the function using one of the following major groupings:

   Direct Instruction to Students
   Internal Support Services
   External Services to Districts within County (Mandated)
   External Services to Districts within County (Non-mandated)
   Multi-county External Services
   Other (please identify)

2. Describe the function in enough detail to make it understandable to someone without your expertise. (Expand upon the description in the consolidated budget as necessary.)

3. As closely as possible, estimate the percent of total dollars in your budget used to provide this function/service.

4. Indicate the FTE staff members who are involved in providing this service/function. Include numbers of FTE staff members for each employee type involved in providing the service (e.g. teachers, aides, clericals, managers, etc.)

5. Describe the clients served by this function.

6. Describe in measureable terms the current level at which your program performs this function. (You may choose to use ADA counts, numbers of districts served, numbers of personnel trained, numbers of sites served, hours spent, etc.)

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PART TWO--THE FUTURE ENVIRONMENT AND MARKET

A. Based on your own knowledge of your program, public education and society in general, as well as a review of Strategic Planning Source materials, please identify trends that must be considered when planning for the future of your program. After each trend, indicate the function(s) that the trend may impact and explain the implications of that impact. Some factors you may wish to consider include:

- politics
- the economy
- technology
- demography
- judicial decisions
- human resources

Be certain to either attach or reference the information and its source which substantiates each trend you identify.

B. Based on your own knowledge of your program, in general, as well as a review of Strategic Planning Source materials, please identify trends in the market for your program's services/function (e.g. increased number of clients, increased level of demand, change in services requested, etc.) future of your program. After each trend; indicate the function(s) that the trend may impact and explain the implications of that impact.

Be certain to either attach or reference the information and its source which substantiates each trend you identify.

C. What questions do you have about the future as it relates to your program, and what might be the sources for their answers?

PART THREE--YOUR PROGRAM IN FIVE YEARS

A. 1987-88 MISSION STATEMENTS

Describe the mission, or purpose of your program as you see it in 1987-88. It may be the same as it is now, or it may be different.

B. 1987-88 PROGRAM DESCRIPTION

Begin with PROGRAM DESCRIPTION developed by the Board; refine and expand it as necessary.

C. FUTURE REVENUE AMOUNT AND SOURCES

Begin with PROGRAM DESCRIPTION SOURCES OF REVENUE SECTION developed by the Board and then refine is necessary.

D. FUNCTIONS/SERVICES AND LEVEL OF EFFORT

For each major function/service you envision your program offering, address the following elements:

1. Categorize the function using one of the following major groupings:

   Direct Instruction to Students
   Internal Support Services
   External services to districts within county (mandated)
   External services to districts within county (non-mandated)
   Multi-county External Services
   Other (please identify)

2. Describe the function in enough detail to make it understandable to someone without your expertise.

3. As closely as possible, estimate the percent of total dollars in your budget that would be used to provide this function/service.

4. Indicate the FTE staff members who would be involved in providing this service/function. Include numbers of FTE staff members for each employee type involved in providing the service (e.g. teachers, aides, clericals, managers, etc.)

5. Describe the clients that will be served by this function.

6. Describe in measureable terms the level at which your program would perform this function. (You may choose to use ADA counts, numbers of districts served, numbers of personnel trained, numbers of sites served, hours spent, etc.)

PART FOUR--INTERMEDIATE STEPS

A. List any significant obstacles, such as the need to acquire new or replacement equipment, etc., which will have to be addressed in order for your program to achieve the desired purpose.

B. List the resources which have the greatest potential for allowing the program to achieve its purpose.

C. List any intermediate steps, between 1983 and 1988, which can be identified as appropriate in assisting the program to achieve its stated purpose.

D. In the spaces below, estimate your program's anticipated expenditures and revenue sources for each of the next five years. If you anticipate multiple revenue sources, be sure to indicate the amount recieved from each.

Program Year	Expenditures	Revenue Sources
1984-85		
1985-86		
1986-87		
1987-88		
1988-89		

PART FIVE--IMPLICATIONS OF PROGRAM TERMINATION

Describe the implications for the Office and for your clients if your program were terminated. How would the program's termination effect internal support requirements, administrative fee levels, etc. What would termination mean to clients; what alternative delivery system, if any, could be employed.

SANTA CLARA COUNTY OFFICE OF EDUCATION

ADMINISTRATIVE COUNCIL STRATEGIC PLANNING WORKSHOP

April 20, 1982

INDIVIDUAL PRIORITY RANKING OF EXTERNAL PROGRAMS

INSTRUCTIONS: Please rank the following external programs in descending priority order from 1 to 17. Number 1 will indicate the program you consider to be the highest priority and the most appropriate to be operated by the COE. There should be no duplication of numbers.

____ CHILDREN'S CENTERS

____ COMMUNITY EDUCATION

____ COMMUNICATION SERVICES

____ EMC

____ ENVIRONMENTAL EDUCATION

____ FINANCIAL

____ INSTRUCTIONAL IMPROVEMENT AND TRAINING

____ IRIC

____ JUVENILE COURT SCHOOLS

____ KTEH

____ MIGRANT EDUCATION

____ OUT OF COUNTY FISCAL SERVICES

____ PAYROLL/PERSONNEL

____ RECAP

____ SPECIAL EDUCATION COORDINATION SERVICES

____ SPECIAL EDUCATION DIRECT SERVICES

____ VOCATIONAL EDUCATION

SANTA CLARA COUNTY OFFICE OF EDUCATION
ADMINISTRATIVE COUNCIL WORKSHOP ON STRATEGIC PLANNING

PRIORITY RANKING OF EXTERNAL PROGRAMS IN DESCENDING ORDER BY FUNDING SOURCE

April 20, 1982

The following programs were ranked individually by each member of the Administrative Council. The results were tabulated and compiled into one priority ranking; consensus was reached through Council discussion first on the column "Most appropriate for COE to operate," next on the funding category appropriate to the program, and finally on the ranking within the funding category. The final priority ranking by funding source is shown below.

Most appropriate for COE to operate:	Total Fund 80	Indep + Ongoing Fund 80	Indep + Fund 80 Bailout	Indep. No Bailout
Special Education, Direct Services			1	
Instructional Improvement/Tr	1			
Business Services Payroll/Pers	2			
Business Services/Financial	3			
Special Education, Coordination				1
Juvenile Court Schools			2	
RECAP			3	
Community Education		1		
Educational Media Center		2		
KTEH		3		
Children's Centers				2
Migrant Education				3
Communications Services	4			
Vocational Education		4		
Environmental Education			4	
IRIC	5			
Out of County Fiscal Services				4

SANTA CLARA COUNTY OFFICE OF EDUCATION

ADMINISTRATIVE COUNCIL STRATEGIC PLANNING WORKSHOP

April 20, 1982

HOMEWORK ASSIGNMENT

PRIORITY RANKING OF INTERNAL SERVICES

INSTRUCTIONS: The purpose of this exercise is to group the 35 internal services listed below into three broad categories, based on how essential each service is to the operation of the Office. In the envelope with this sheet are 35 colored dots--11 red, 12 blue and 12 yellow. Please place one colored dot on the line beside each service, using the following code:

Red: Most essential to the operation of the Office
Blue: Next in priority as essential to Office operation
Yellow: Least essential to the operation of the Office

__________ ACCTS PAYABLE
__________ ACCTS RECEIVABLE
__________ AFFIRM ACT--HIRING
__________ AFFIRM ACT--TRAINING
__________ ATTENDANCE SYSTEM (RECAP)
__________ ATTENDANCE/PAYROLL
__________ BUDGET ADMIN
__________ BUDGET DEVEL
__________ CASH CONTROL
__________ CENTRAL STORES
__________ CONFERENCE CENTER
__________ DUPLICATING
__________ EMPLOYEE REIMBURSEMENTS
__________ EMPLOYEE STATUS CHANGES
__________ EVALUATION
__________ FACILITIES PLANNING
__________ FINANCIAL ACCOUNTING
__________ FINANCIAL ADVICE
__________ FINANCIAL REPORTS (RECAP)
__________ GRAPHICS
__________ INSURANCE
__________ LEGAL SERVICES
__________ MAIL
__________ MAINTENANCE
__________ NEGOTIATOR
__________ OFFICIAL DOCUMENTS
__________ PURCHASING
__________ RECRUITMENT/SELECTION
__________ SAFETY TRAINING
__________ SALARY PROJECTION (RECAP)
__________ STRATEGIC PLANNING
__________ TELECOMMUNICATION
__________ TRANSPORTATION
__________ WORD PROCESSING
__________ WORK STATION SPACE

PROPOSED PLANNING MODEL FOR
ANALYSIS OF 1983-84 DIRECTIVES AND OBJECTIVES
1987-88 PROGRAM DESCRIPTIONS
April 26, 1983

PART ONE - 1983-84 DIRECTIVES AND OBJECTIVES

1.0 Background

At the direction of the Board of Education, individual program Directives for 1983-84 are to be analyzed by program managers. Based on the professional judgment of the program manager, division evaluator, and division head, budget objectives will be formulated, as appropriate, for the Directives. Disposition of each Directive is to be reported to the Board, per its request.

1.1 Tracking Model

Budget Objectives and Evaluation Specifications are currently being developed and 1983-84 Directives are in the hands of program managers. Objectives will likely be more encompassing than the Directives. Therefore, in order to trace the disposition of each Directive and report the results to the Board, the following process is suggested, together with the attached form Directive/Objective Analysis.

The Directive, as it appeared in the Program Analysis and Projection developed by the Council and Board, is to be listed. Any change, or modification, of the Directive should immediately follow the original Directive. The Budget Objective developed from the Directive, and/or a statement indicating the necessity/rationale for its modification or omission will then be presented. The recommendation as to whether the Directive is appropriate for a Budget Objective, i.e., legitimate, workable and based in reality, is to be made by the program manager and evaluator, based upon their experience and technical expertise.

1.2 Time

The Directives/Objectives Analysis should be prepared concurrently with the Budget Calendar for the development of Objectives.

1.3 Review

The Directive/Objective Analysis will be forwarded with the Budget Objectives to the Manager, Evaluation Research, continue to the Budget Officer, Superintendent's Council and be presented to the Board together with the Budget.

DIRECTIVE OBJECTIVE ANALYSIS

PROGRAM NAME MEDIA SERVICES -- KTEH/COMMUNITY TELEVISION

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1983-84 Directives	Analysis for Inclusion as Budget Objective
1. Pay appropriate Administrative Fee.	Does so already.
2. Develop plan for cost recovery.	Objective 4
3. Investigate parent education programming; by December 1, 1983, report on ways Community Education is supporting parenting education goals.	Staff already completed this task and reported to Council.
4. Seek grants on programming regarding brain research and the learning process. Provide progress report to Council by August 1, 1983.	Programming in this area is being done by another public television station which received a multi-million dollar grant to do this.
5. Maintain stringent control on budget/costs.	Inherent in the total management of the program.
6. Coordinate 5-year plan with Office strategic plan to meet 1987-88 program description.	Objective 4

PLANNING BUDGET/EVALUATION MASTER CALENDAR

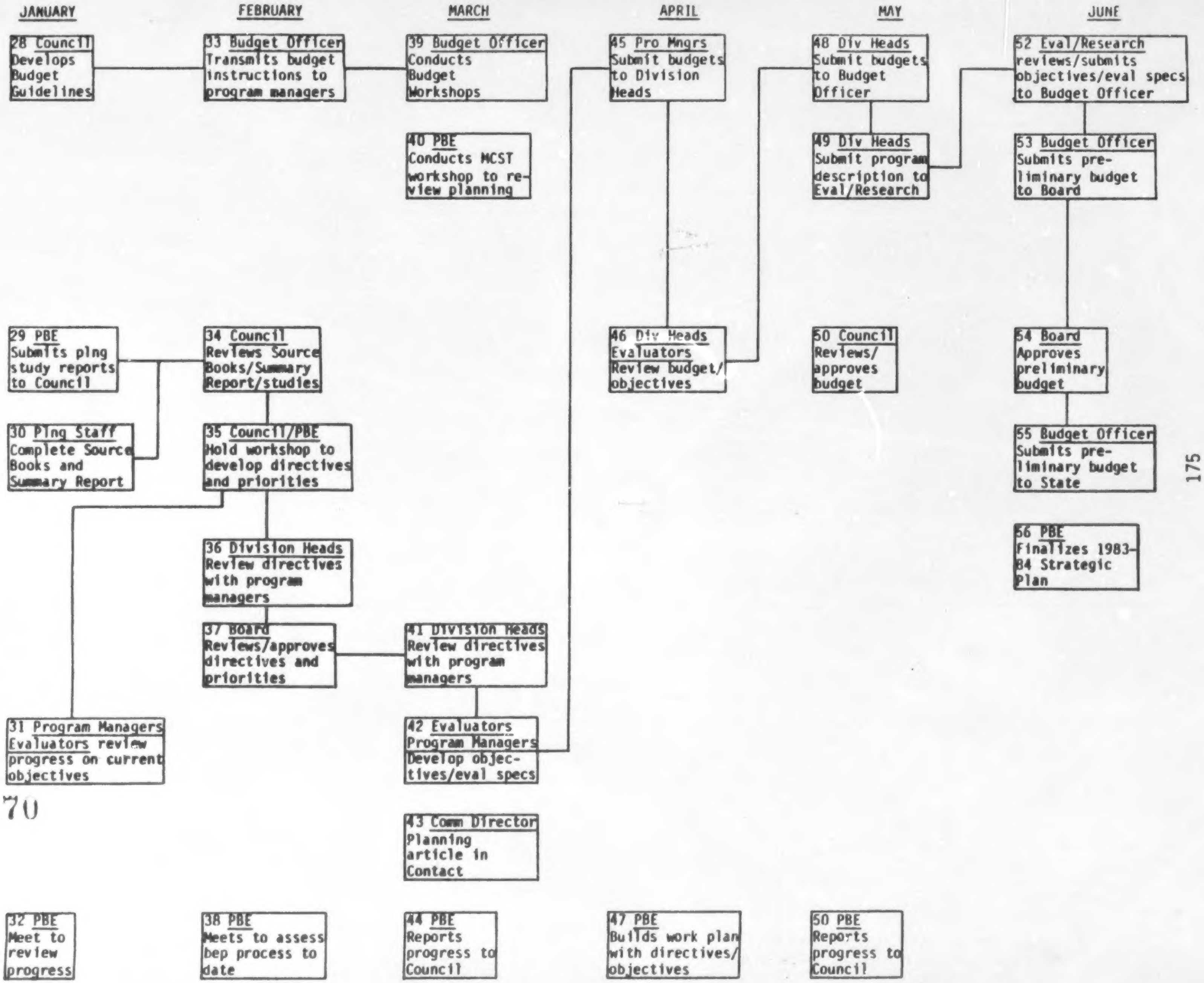

JANUARY
FEBRUARY
MARCH
APRIL
MAY
JUNE
28 Council Develops Budget Guidelines
29 PBE Submits plng study reports to Council
30 Plng Staff Complete Source Books and Summary Report
31 Program Managers Evaluators review progress on current objectives
32 PBE Meet to review progress
33 Budget Officer Transmits budget instructions to program managers
34 Council Reviews Source Books/Summary Report/studies
35 Council/PBE Hold workshop to develop directives and priorities
36 Division Heads Review directives with program managers
37 Board Reviews/approves directives and priorities
38 PBE Meets to assess bep process to date
39 Budget Officer Conducts Budget Workshops
40 PBE Conducts MCST workshop to review planning
41 Division Heads Review directives with program managers
42 Evaluators Program Managers Develop objectives/eval specs
43 Comm Director Planning article in Contact
44 PBE Reports progress to Council
45 Pro Mngrs Submit budgets to Division Heads
46 Div Heads Evaluators Review budget/objectives
47 PBE Builds work plan with directives/objectives
48 Div Heads Submit budgets to Budget Officer
49 Div Heads Submit program description to Eval/Research
50 Council Reviews/approves budget
50 PBE Reports progress to Council
52 Eval/Research reviews/submits objectives/eval specs to Budget Officer
53 Budget Officer Submits preliminary budget to Board
54 Board Approves preliminary budget
55 Budget Officer Submits preliminary budget to State
56 PBE Finalizes 1983-84 Strategic Plan

FIGURE 1 - PLANNING BUDGET/EVALUATION MASTER CALENDAR

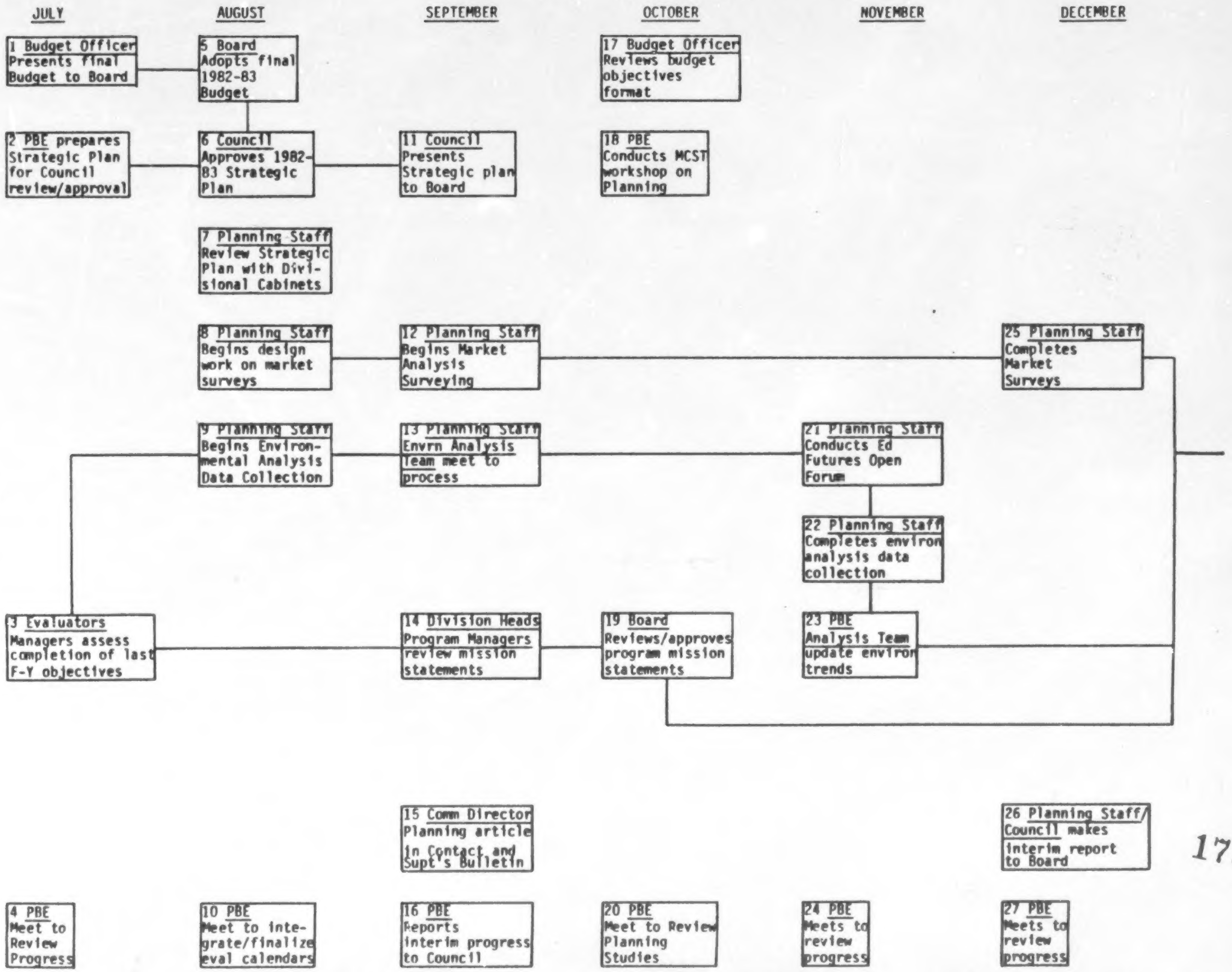
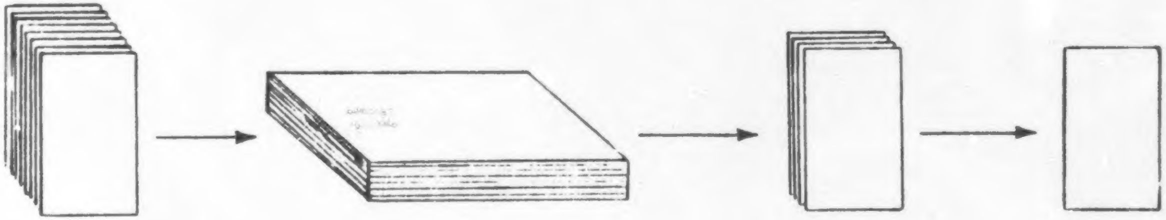

JULY
AUGUST
SEPTEMBER
OCTOBER
NOVEMBER
DECEMBER
1 Budget Officer Presents final Budget to Board
5 Board Adopts final 1982-83 Budget
17 Budget Officer Reviews budget objectives format
2 PBE prepares Strategic Plan for Council review/approval
6 Council Approves 1982-83 Strategic Plan
11 Council Presents Strategic plan to Board
18 PBE Conducts MCST workshop on Planning
7 Planning Staff Review Strategic Plan with Divisional Cabinets
8 Planning Staff Begins design work on market surveys
12 Planning Staff Begins Market Analysis Surveying
25 Planning Staff Completes Market Surveys
9 Planning Staff Begins Environmental Analysis Data Collection
13 Planning Staff Envrn Analysis Team meet to process
21 Planning Staff Conducts Ed Futures Open Forum
22 Planning Staff Completes environ analysis data collection
3 Evaluators Managers assess completion of last F-Y objectives
14 Division Heads Program Managers review mission statements
19 Board Reviews/approves program mission statements
23 PBE Analysis Team update environ trends
15 Comm Director Planning article in Contact and Supt's Bulletin
26 Planning Staff/Council makes interim report to Board
4 PBE Meet to Review Progress
10 PBE Meet to integrate/finalize eval calendars
16 PBE Reports interim progress to Council
20 PBE Meet to Review Planning Studies
24 PBE Meets to review progress
27 PBE Meets to review progress

FIGURE 4

Levels of Survey Findings



RAW DATA

Completed Survey
Instruments--
Available at CEP

ANALYZED DATA

SPSS Computer Printouts--
Available at CEP

SELECTED FINDINGS

Included in
Market Analysis
Source Book

SUMMARY RESULTS

Included in
Summary Report